

NAVAL RESERVE OFFICERS TRAINING CORPS

SEA POWER AND MARITIME AFFAIRS



April 2009

NAVAL SERVICE TRAINING COMMAND

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**NAVAL RESERVE OFFICERS TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

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RECORD OF CHANGES

[illegible]

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LETTER OF PROMULGATION

This curriculum guide was designed to standardize the NROTC course of instruction in Sea Power and Maritime Affairs. The lesson guide contains competency objectives which support the Professional Core Competencies (PCCs) for Officer Accession Programs. It is incumbent upon the instructor to ensure all identified objectives are adequately covered. Additionally, the instructor is encouraged to use his/her own expertise to further enrich the course.

The course may be modified with approval of Professors of Naval Science provided all professional competency objectives stated in this guide are mastered by the midshipmen.

This course is approved for implementation upon receipt. The 2002 version of Sea Power and Maritime Affairs is hereby canceled and superseded.


C. J. STEIN
NROTC Program Manager

3 Apr 2009
Date

DEFINITION OF MEASUREMENT TERMS

(Used in describing desired Professional Core Competencies and supporting learning objectives)

I. Know - Recall facts, bring to mind the appropriate material, recognize knowledge.

Examples: Know the objectives of damage control aboard ship.

Know the safety precautions used to provide the fullest measure of safe small boat operations.

II. Comprehend - Interpret principles and concepts and relate them to new situations.

Examples: Comprehend the mission of the U.S. Navy and the U.S. Marine Corps.

Comprehend the concepts of internal forces (e.g., stress, strain, shear).

III. Apply - Utilize knowledge and comprehension of specific facts in new relationships with other facts, theories, and principles.

Examples: Apply correct plotting procedures when navigating in pilot waters.

Apply correct procedures to determine times of sunrise and sunset.

IV. Demonstrate - Show evidence of ability in performing a task.

Examples: Demonstrate third-class swimming skills and fundamental water survival skills.

Demonstrate the correct procedure used in radio and telephone communications.

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PROFESSIONAL CORE COMPETENCY OBJECTIVES

The following professional competency objective statements for this course are taken from the Professional Core Competencies Manual for Officer Accession Programs promulgated in April 2001.

1. Know the significant events of U.S. naval history.
 - a. Know the significant milestones in the history of the evolution of the U.S. Navy and Marine Corps, including the prominent leaders and their contributions.
 - b. Know the role U.S. naval forces played in the national strategies and policies of the United States in peacetime expansion and war through the present time.
2. Comprehend the historical evolution of sea power and its effects on world history.
 - a. Comprehend the importance of power projection by seaborne forces and be able to cite historical examples.
 - b. Know the significant historical developments in the technical evolution of naval weapons systems and platforms.
 - c. Comprehend the contributions of nineteenth and twentieth century naval strategists and relate their concepts to current situations.
 - d. Know the major historical facts in relation to sea power in the global wars 1914-18 and 1939-45 including the developments in submarine, amphibious, and air warfare at sea.
3. Know the fundamental national interests of the U.S. and potential adversaries.
 - a. Know the significant historical events of the Cold War period.
 - b. Comprehend the concepts of low, mid and high intensity warfare.
 - c. Comprehend the national interests, policies, and overall military strategy of the U.S. and how these policies and strategies are formulated in the U.S. political system.
 - d. Comprehend the role of the military forces of the United States within the Constitutional framework and the effect of the National Security Act of 1947 and the Goldwater-Nichols Department of Defense Reorganization Act of 1986.
 - e. Know the current U.S. maritime strategy for employment of naval forces.

4. Know the effect the evolution of third world countries and the development of international terrorist movements have had on the interests, policies, and strategies of the U.S.
 - a. Comprehend the policies and related military actions of the U.S. in developing countries since 1945 and know examples of successes and failures of these policies and actions.

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INTRODUCTION

1. This curriculum guide was written to assist the instructor in the organization, preparation, and presentation of the Sea Power and Maritime Affairs curriculum. The publication contains lesson guides which treat the broad principles, concepts, and elements of sea power with historical and modern applications to the United States and other world powers. The guide contains supporting objectives and lesson material for each competency objective promulgated in the Professional Core Competencies Manual for Officer Accessions Programs.
2. Instructors are encouraged to supplement the material contained in this guide in a number of ways, including using PowerPoint slides provided by the Course Coordinator and/or preparing other slides, assigning papers and presentations based on supplemental readings, showing films and videos, and utilizing maps and other audiovisual materials.
3. The Course Coordinator is available to answer questions and assist with reference information, as well as for general networking. Instructors are encouraged to utilize this resource. Instructors should pass along to the Course Coordinator any ideas that work especially well in the classroom or suggested changes to the course.

**NAVAL RESERVE OFFICERS TRAINING CORPS
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LESSON TOPICS

	<u>Title</u>	<u>Hours</u>
1	Introduction	1
2	The American Revolution, 1775-1783: Competing Naval Strategies	1
3	The U.S. Navy in the Napoleonic Era, 1783-1815	1
4	The U.S. Navy, 1815-1860: Power Projection and Technological Revolution	1
5	The Civil War, 1861-1865: Two American Navies	2
6	Developments of Naval Technology and Strategy, 1865-1890	1
7	The Dawning of the Age of Mahan, 1890-1898	1
8	The U.S. Navy and American Imperialism, 1898-1914	1
9	The U.S. Navy and World War I, 1914-1918	1
10	U.S. Naval Strategy and National Policy, 1919-1941	1
11	World War II: The U.S. Navy in North Africa, the Mediterranean, and the Atlantic, 1941-1945	2
12	World War II: The U.S. Navy in the Pacific, 1941-1945	2
13	The U.S. Navy in the Early Cold War, 1945-1953	1
14	The U.S. Navy in the Strategy of Containment, 1953-1963	1
15	The U.S. Navy, Vietnam and Limited War, 1964-1975	1
16	The Era of Retrenchment: Presidents Ford and Carter, 1974-1980	1
17	The U.S. Navy from the Maritime Strategy to “9/11,” 1981-2001	2
18	The U.S. Navy since 2001	2
Total Hours		<u>23</u>

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LIST OF INSTRUCTIONAL AIDS

1. PowerPoint Presentations and documents
 - A. Official NROTC Sea Power lectures and documents
 - B. Dr. Kenneth J. Hagan lectures and documents
2. Instructional Devices
 - A. White Dry Erase Board
 - B. Computer (with Microsoft Office, including PowerPoint) and projection system (optional)
3. The Naval Historical Center's website (<http://www.history.navy.mil/>) offers information and materials for use by NROTC instructors, including biographies of key figures in U.S. naval history; color and black/white photographs; reproductions of naval art; key documents; select publications; a *Guide to U.S. Naval History Organizations, Programs, and Resources*; and a catalogue of sources on the U.S. Navy's history in libraries and archives nationwide.
4. The international bibliographical service, <http://www.WorldCat.org>, is an extremely useful website for finding relevant references for a particular topic.
5. Most universities have video libraries or audiovisual organizations that can provide current, topical films to units at no cost. The universities may also have additional funding or arrangements to purchase video rights and rental for use in the classroom environment. Consult with your university's film librarian to locate additional films to support lesson plans.
6. Please be aware that commercial videos are to be purchased for the sole use of the instructor in an academic setting. These videos are not to be reproduced, sold, copied, or shown in their entirety. Academic privileges allow instructors to utilize portions of videos, books, articles available to the public, and other media in academia to teach and educate. Using or distributing these videos in any other fashion may constitute copyright infringements. Short video clips often provide intriguing material to supplement other course materials, but instructors must use these segments appropriately. Seek official legal advice for any use not mentioned in this guide. Additional guidance may be found in SECNAVINST 5870.4.
7. Please note that you must exercise caution in using material downloaded from the Internet. Access to works on the Internet does not automatically mean that these can be reproduced

and reused without permission or royalty payment. Before using any materials downloaded from the Internet for use in education, you must determine what, if any, copyright restrictions might apply. A good rule of thumb would be to presume that any information on the Internet is copyrighted, and that you should not use it without obtaining permission from the copyright holder. SECNAVINST 5870.4 provides specific guidelines that should be addressed in a copyright permission request letter.

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BIBLIOGRAPHY

A. Texts (One per student/One per instructor):

Hagan, Kenneth J. and Michael T. McMaster, eds. *In Peace and War: Interpretations of American Naval History*. 30th Anniversary ed. Westport, CT: Greenwood Press, 2008.

B. Instructor References (One per instructor, in addition to the student texts):

Baer, George W. *One Hundred Years of Sea Power: The U.S. Navy, 1890-1990*. Stanford, CA: Stanford University Press, 1994.

Bradford, James C., ed. *Quarterdeck & Bridge*. Annapolis, MD: U.S. Naval Institute, 1996.

Hagan, Kenneth J. *This People's Navy: The Making of American Sea Power*. New York: The Free Press, 1991 (Now published by Simon & Schuster, Inc.).

Potter, E. B., ed. *Sea Power: A Naval History*. 2nd ed. Annapolis, MD: Naval Institute Press, 1981.

Sweetman, Jack. *American Naval History*. 3rd ed. Annapolis, MD: Naval Institute Press, 2002.

Symonds, Craig L. *The Naval Institute Historical Atlas of the U.S. Navy*. Annapolis, MD: The Naval Institute, 2001.

Weigley, Russell F. *American Way of War: A History of the United States Military Strategy and Policy*. Bloomington, IN: Indiana University Press, 1991.

The following booklets are available from the Naval Historical Center website.
(<http://www.history.navy.mil/>):

Buell, Thomas B. *Naval Leadership in Korea: The First Six Months*. The U.S. Navy in the Korean War Series, Edward J. Marolda, ed. Washington, D.C.: Naval Historical Center, 2002.

Stanik, Joseph T. *Swift and Effective Retribution: The U.S. Fleet and the Confrontation with Qaddafi*. The U.S. Navy in the Modern World Series, Edward J. Marolda, ed. Washington, D.C.: Naval Historical Center, 2000.

C. Supplemental References (optional; not supplied by CNET):

Beach, Edward, J. *The U.S. Navy: First 200 Years*. Annapolis, MD: Naval Institute Press, 1986.

- Brodie, Bernard. *Guide to Naval Strategy*. 4th ed. Westport, CT: Greenwood Press, 1958.
- Cutler, Tom. *Brown Water, Black Berets: Coastal and Riverine Warfare in Vietnam*. Annapolis, MD: Naval Institute Press, 2000.
- Isenberg, Michael T. *Shield of the Republic: The United States Navy in an Era of Cold War and Violent Peace, 1945-1962*. New York: Saint Martin's Press, 1993.
- Keegan, John. *The Price of Admiralty*. New York: Viking Penguin, Inc., 1988.
- Kennedy, Paul. *The Rise and Fall of British Naval Mastery*. London: A. Lane, 1976.
- Lehman, John F., Jr. *Command of the Seas: A Personal Story*. New York: Scribner Press, 1989.
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- Marolda, Edward J. *The U.S. in the Vietnam War: An Illustrated History*. Washington, D.C.: Brassey's, Inc, 2002.
- Marolda, Edward J. and Robert J. Schneller, Jr. *Shield and Sword: The United States Navy and the Persian Gulf War*. Annapolis, MD: Naval Institute Press, 2001.
- Potter, E.B. and Chester W. Nimitz, eds. *Sea Power: A Naval History*. 1st ed. Englewood Cliffs: Prentice-Hall, 1960.
- Reynolds, Clark G. *Command of the Sea*. Vols. 1 & 2. Malabar, FL: Robert E. Krieger Publishing Co., 1983.
- Reynolds, Clark G. *Navies in History*. Annapolis, MD: Naval Institute Press, 1998.
- Symonds, Craig L. *Lincoln and His Admirals: Abraham Lincoln, the U.S. Navy, and the Civil War*. New York: Oxford University Press, 2008.
- Uhlig, Frank, Jr. *How Navies Fight*. Annapolis, MD: Naval Institute Press, 1994.
- Zumwalt, Admiral Elmo. *On Watch*. New York: Quadrangle/New York Times Books, 1976.
- D. Supplemental Periodicals. Although not provided by NETC, there are numerous articles in the periodicals listed below that will be of great value to the instructor.
- Naval History*. Annapolis: U.S. Naval Institute. Published bimonthly.
- Proceedings*. Annapolis: U.S. Naval Institute. Published monthly.

Sea Power. Navy League of the United States. Published monthly.

U.S. Naval War College Review. Newport, RI: Naval War College. Published quarterly.

NOTE: *If instructors wish to reproduce any material from the above publications permission must be obtained from the appropriate source.*

E. Supplemental Websites:

Official Website of the U.S. Navy: <http://www.navy.mil/swf/index.asp>

Maritime Strategy: <http://www.navy.mil/maritime/>

Naval History and Heritage Command: <http://www.history.navy.mil/>

Naval Expeditionary Combat Command: <http://www.necc.navy.mil/>

Sea Power 21: <http://www.navy.mil/navydata/cno/proceedings.html>

Combined Joint Task Force Horn of Africa: <http://www.hoa.africom.mil/>

1,000-Ship Navy: <http://www.armedforcesjournal.com/2006/12/2336959> and
http://www.navy.mil/search/display.asp?story_id=27571

**NAVAL RESERVE OFFICERS TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

LESSON GUIDE: 1

HOURS: 1

TITLE: Introduction

I. Learning Objectives:

- A. The student will know administrative matters pertaining to the course.
- B. The student will know key themes that thread throughout U.S. maritime and naval history.
- C. The student will know that strategic doctrines guiding U.S. naval strategy continually change.

II. References and Texts: None.

III. Instructional Aids: Syllabus handout with objectives.

IV. Suggested Methods and Procedures:

- A. Method options: Lecture/Discussion.
- B. Procedural and student activity options: None.

V. Presentation:

- A. Administration of the course.
 - 1. Testing procedures.
 - 2. Counseling procedures.
 - 3. Grading and evaluation procedures.
- B. Key themes of U.S. maritime and naval history.
 - 1. The U.S. Navy as an instrument of foreign policy.
 - a. Nineteenth Century: Commercial expansion/showing the flag.
 - b. Twentieth Century: "Making the world safe for democracy."
 - c. Twenty-first century: Fighting terrorism.

- d. Mahanian “command of the sea” through battle fleet engagements.
 - e. “Power projection” throughout the world, especially beyond Europe.
- 2. Interaction between Congress and the U.S. Navy.
 - a. Funding is the crucial issue in every era.
 - b. Congressional attitudes determine the size of the U.S. Navy, as well as its composition.
- 3. Interservice relations.
 - a. A certain tension has always existed between the U.S. Army and the U.S. Navy, compounded by the creation of an independent U.S. Air Force.
 - b. This tension at times has impeded successful execution of strategies.
 - c. The goal always has been a cooperative effort between the services.
 - d. In the 1980s and 1990s, an intensive effort was made by the Congress and the Department of Defense to achieve maximum interservice cooperation or “jointness.”
 - e. In the 1990s and early 2000s, the services have been and continue to be called upon more than ever to operate “jointly” under newly created joint commands possessing power significant combat power.
- 4. Technology.
 - a. Categories: hull, armor, ordnance, propulsion.
 - b. Alternate categories: surface, subsurface, air, space, communications, including signals intelligence (SIGINT).
 - c. The relationship between technology, strategy and tactics is symbiotic: changes in one induce anticipated and unanticipated changes in the other.
- 5. Leadership: Types of leaders.
 - a. Are the characteristics of great combat leaders similar or essentially dissimilar to those of distinguished “desk-bound” strategists and administrators?
 - (1) Does the U.S. Navy need both at all times?

- (2) How has the U.S. Navy attempted to select and groom great leaders?
 - b. The students will study representative American naval leaders and assess the qualities of the greatness, the reasons for their successes, the instances where they failed.
6. Strategy and tactics: The U.S. Navy at war.
- a. Definitions of strategy have varied over time.
 - (1) Today's definition differs from that of Alfred Thayer Mahan, although its roots lie in his thinking and writings.
 - (2) The students should be asked to explain their conception of strategy and to refine it throughout the course.
 - b. Tactics differ from strategy.
 - (1) Strategy deals with the formation of military objectives to achieve the goals of national policy.
 - (2) Tactics involve the techniques for using weapons and units in combat in pursuit of strategic objectives.
 - c. Naval wars will be studied in order to comprehend the interaction between national policy, alliance systems, naval strategy, naval tactics, leadership, logistics, popular opinion, and alliance systems.
7. U.S. naval doctrine – Its evolution over time.
- a. In 1890, Captain Alfred Thayer Mahan advocated that the U.S. Navy abandon its historic doctrine of *guerre de course* and commerce raiding in favor of a battle fleet doctrine composed of:
 - (1) Capital ships.
 - (2) Fleets of capital ships.
 - (3) Fleet engagements in search of decisive victory.
 - b. Mahan's doctrine guided the U.S. Navy from the 1890s until the 1990s and, thereafter, has continued to have a strong influence on policy and strategy.
 - c. Students today must constantly question the continued applicability of Mahan in an era of radically new technology and ever-shifting balances of power.

- d. The maritime doctrine of the British writer Sir Julian S. Corbett must also be studied as it differs from Mahan in the key area of the need for sea power to complement land power. The emphasis of modern-day “joint” operations necessitates consideration of the teachings of Corbett to balance those of Mahan.
 - e. The effect of the war on terror upon the evolution of naval strategy must be constantly assessed.
8. Prospects for the future missions of the U.S. Navy.
- a. Relations with “third-world nations” in a multi-polar world have become preeminent since the end of the Cold War and especially since President George W. Bush’s proclamation of a War on Terrorism following the attack on the World Trade Center and the Pentagon on September 11, 2001 (known colloquially as “9/11”).
 - b. Russia and the successor states of the former Soviet Union will require evolving and altering naval strategies on the part of the United States.
 - c. “Rogue states” such as North Korea and Iran, will require special American naval strategies.
 - d. China will pose the greatest challenge to American naval hegemony in the western Pacific Ocean, and it will have to receive special accommodation in the national U.S. naval policy and strategy.
 - e. The future facing the U.S. Navy will be far more complex than anything previously experienced, so the selection of applicable historical precedents by American naval strategists and planners will have to be extremely judicious.

**NAVAL RESERVE OFFICERS TRAINING CORPS
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LESSON GUIDE: 2

HOURS: 1

TITLE: The American Revolution, 1775-1783: Competing Naval Strategies

I. Learning Objectives:

- A. The student will comprehend the American Revolution in the context of European politics and the regeneration of the struggle between Great Britain and France.
- B. The student will know (identify) the causes of the American Revolution.
- C. The student will comprehend the uses of sea power by the Americans, British and French.
- D. The student will know the course of the war and representative campaigns.
- E. The student will comprehend the relationship of military and naval policy, diplomacy, and strategy as demonstrated during the war.

II. References and Texts:

A. Instructor references:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 1.
- 2. *American Way of War*, Chapters 1 and 2.
- 3. *This People's Navy*, Chapter 1.
- 4. *Historical Atlas of the U.S. Navy*, pp. 3-20.
- 5. *American Naval History*.
- 6. *Quarterdeck & Bridge*: Essek Hopkins & John Paul Jones.

B. Student texts:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 1

III. Instructional Aids:

- A. Official NROTC Sea Power lectures and documents.

B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures:

A. Method options.

1. Lecture/discussion.
2. Incorporate PowerPoint slides.

B. Procedural and student activity options: Reading assignment.

V. Presentation:

A. The American Revolution in the European political context

1. The Peace of Paris (Treaty of Paris), 1763, was in effect a truce, not a peace.
 - a. Great Britain (sea power) and France (land power) remain rivals and potential enemies.
 - b. Rivalry for empire.
 - (1) North America.
 - (2) West Indies.
 - (3) Indian Ocean.
 - c. Great Britain attempts to get North America's colonists to agree to:
 - (1) Pay the cost of the Seven Years' War (1756-63).
 - (2) Garrison the soldiers.
 - (3) The Proclamation of 1763.
 - (4) Miscellaneous oppressive acts – Stamp Act, etc.
 - d. The resulting rebellion becomes part of a renewed Anglo-French War.
2. The British fleet.
 - a. Government support: Vital to national interest.

- b. Composition and size.
- c. Types of ships.
- d. Manning/Conditions.
- e. Leadership.
- f. Tactics.
 - (1) Formal.
 - (2) Melee.

B. American maritime heritage as a result of colonial status.

- 1. Resources.
 - a. Ships.
 - b. Crews.
 - c. Raw materials.
 - d. Integral components of British merchant fleet.
- 2. Advantages.
 - a. Protection of the British fleet.
 - b. Ready market for goods.
 - c. Benefits of imperial trade.
- 3. Disadvantages.
 - a. All trade designed to support Britain.
 - b. Different national interests.
 - c. No voice in empire policy.
 - d. No trade outside of empire.

C. Causes of the American Revolution.

1. Resentment of empire policies.
 2. Taxation to pay British debts.
 3. Curtailment of western expansion.
 4. No colonial representation in Parliament.
- D. Strategies: American versus British.
1. Survival versus command of sea.
 2. Limited warfare (*guerre de course*) versus naval resupply, mobility and blockades.
 3. Diplomacy to secure French aid.
- E. Course of the war.
1. Prior to 1778: Going it alone.
 - a. 1775: Siege of Boston and invasion of Canada.
 - b. 1776: British invasion of New York City and Lake Champlain campaign. Benedict Arnold's strategy, tactics, and strategic success (despite tactical defeat) at Valcour Island.
 - c. 1777: Turning point – Saratoga and disaster at Philadelphia.
 - d. 1778: Treaty with France – A military and commercial alliance.
 2. 1778-83: A French ally and a global war.
 - a. 1778: Arrival of Rochambeau.
 - b. 1779: d'Estaing and abortive attempt on New York City.
 - c. 1780: British southern campaign.
 - (1) Kings Mountain.
 - (2) Cowpens.
 - (3) Guilford Courthouse.
 - d. 1781: De Grasse to West Indies; Yorktown campaign, Virginia Capes.

e. 1782: Battle of Saints.

f. 1783: Treaty of Paris.

F. Naval policy.

1. Sectionalism.

a. Continental Navy.

(1) General George Washington, the commander.

(2) Frigates, sloops and brigs for commerce raiding and coastal defense.

(a) John Paul Jones as practitioner of *guerre de course* and raider of enemy's coast.

b. States' navies: Mostly for coastal defense of the sponsoring state.

c. Privateers: Commerce raiding for profit.

2. New Providence expedition.

3. Penobscot expedition.

4. Commerce raiders.

5. French naval contribution.

a. Rebuilt fleet.

b. Improved leadership and technology versus British stagnation.

c. Global commitments.

d. No continental war to drain support from navy.

6. British naval policy.

a. Amphibious operations.

b. Improvements.

(1) Gunnery.

(2) Tactics.

(3) Copper-bottomed ships.

c. Not weakened during the war.

d. Maintained naval power at end of the war.

G. Results: American.

1. Independence.

2. Out of British Empire.

3. Weak army and non-existent navy – Confirmed belief in necessity of commerce raiding (*guerre de course*) and privateering as only means of striking back at major European powers.

H. Results: British.

1. Increased rivalry with France.

2. Maintained the world's most powerful Navy.

**NAVAL RESERVE OFFICERS TRAINING CORPS
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LESSON GUIDE: 3

HOURS: 1

TITLE: The U.S. Navy in the Napoleonic Era, 1783-1815

I. Learning Objectives:

- A. The student will comprehend the influence of European events upon American trade and naval policy during this period.
- B. The student will understand and be able to explain the term “Battle of Annihilation.”
- C. The student will know (list) the causes and operations of the Quasi-War with France.
- D. The student will know the background of Thomas Jefferson’s defensive naval strategy including the use of gunboats and forts.
- E. The student will know (recall) operations against the Barbary corsairs during this period.
- F. The student will comprehend the main factors of the European war and their effect on causing the War of 1812.
- G. The student will understand and be able to explain the term *guerre de course*.
- H. The student will know the U.S. and British naval strategy during the war.
- I. The student will comprehend the Great Lakes campaign and its importance to the U.S. war effort.
- J. The student will comprehend (compare and contrast) the naval strategies of John Rodgers and Stephen Decatur.
- K. The student will comprehend the significance of the Washington and New Orleans campaigns.
- L. The student will know the contributions of the U.S. Navy during the war of 1812, and assess the state of the U.S. Navy after the treaty of Ghent.

II. References and Texts:

- A. Instructor references:

1. *In Peace and War, 30th Anniversary ed.*, Chapters 2 and 3.
2. *American Way of War*, Chapter 3.
3. *This People's Navy*, Chapters 2 and 3.
4. *Historical Atlas of the U.S. Navy*, pp. 23-57.
5. *Quarterdeck & Bridge*: Stephen Decatur & Oliver Hazard Perry.
6. *American Naval History*.

B. Student texts:

1. *In Peace and War, 30th Anniversary ed.*, Chapters 2 and 3.

III. Instructional Aids:

- A. Official NROTC Sea Power lectures and documents.
- B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures:

A. Method options:

1. Lecture/Discussion.
2. Show videos/video segments.
3. Incorporate slides with lecture.

B. Procedural and student activity options: Reading assignment.

V. Presentation:

A. Introduction.

1. Effects of Treaty of Paris, 1783.
2. State of the navy after 1785.
 - a. Defenseless maritime nation.
 - b. British trade advantages lost.

- c. New markets: Mediterranean, China.
- d. Barbary pirate attacks, 1783-87.

B. Naval policy debate.

1. Federalists: Alexander Hamilton, John Jay.
 - a. Strong navy.
 - b. Balance of power.
 - c. Protect trade.
2. Republicans: Jefferson.
 - a. Navy would provoke European powers.
 - b. Expensive (unfair taxes on Southern states).
 - c. Trappings of European imperialistic powers.
 - d. Not needed; could hire a fleet.
3. 1788: Constitution ratified.
 - a. Provides for a U.S. Navy.
 - b. No action taken for a U.S. Navy.

C. Influence of European events.

1. The French Revolution and War: 1792.
 - a. France and the Treaty of 1778.
 - b. British Orders-in-Council, 1793.
 - c. French reaction.
 - d. Seizure of American merchant ships.
2. Barbary States.
 - a. Peace with Portugal.

- b. Seize American ships.
- 3. U.S. Reaction.
 - a. 1794 select committee.
 - b. Recommend frigates.
 - c. Navy Act.
 - (1) Six frigates – Best in the world!
 - (2) Stop construction in event of peace with Algiers.
- D. Diplomacy and U.S. naval policy.
 - 1. Jay-Grenville Treaty.
 - a. January 1794: British rescind Orders-in-Council.
 - b. Poor harvest.
 - c. Issues: British-American.
 - (1) Maritime disputes.
 - (2) Western forts.
 - (3) Northern boundary.
 - (4) Mississippi navigation.
 - (5) Reparations for seized slaves.
 - d. Treaty results:
 - (1) Signed November 19, 1794.
 - (2) Opened West Indies for U.S. trade.
 - (3) Gave Britain most favored-nation status.
 - (4) British abandon western forts.
 - (5) Settle Canadian boundary.

- (6) Restrict French privateers in the United States.
- e. Public reaction hostile.
 - (1) Jay denounced as a “scoundrel.”
 - (2) Used against President John Adams in the presidential election of 1800.
- 2. Peace with Barbary corsairs.
 - a. 1795: Algiers.
 - (1) Bribe; annual tribute.
 - (2) Frigate *Crescent*.
 - b. 1796: Tripoli.
 - c. 1797: Tunis.
- 3. Effects on U.S. Navy.
 - a. Three Navy Act ships scrapped.
 - b. Three frigates to be finished.
- E. Quasi-War, 1798-1800.
 - 1. Causes.
 - a. French reaction to Jay-Grenville treaty.
 - (1) Issue decree, 1797.
 - (2) Seize U.S. merchant ships.
 - b. XYZ affair.
 - (1) American delegation to Paris required to pay bribes before France would negotiate.
 - (2) Congress and public outraged.
 - c. Department of the Navy established.
 - (1) Benjamin Stoddert, first Secretary of the Navy.

(2) Increase naval expenditures.

(a) Shipyards.

(b) Ships.

(3) Congress issues “Letters of Marque and Reprisal” – Legalizes privateering.

2. Operations.

a. Against armed French ships.

b. Main theater – Caribbean.

(1) *Constellation* versus *Insurgente*.

(2) *Constellation* versus *Vengeance*.

c. U.S. Navy operated with Britain..

d. Most of the French fleet blockaded.

e. 1798: Battle of Nile, French naval defeat by Britain’s Horatio Nelson.

f. 1799: Increased funds for U.S. Navy.

3. Peace.

a. 1798: Negotiations begin.

b. Treaty of Mortefontaine signed on December 21, 1801.

(1) Ended Franco-American Treaty of Military Alliance (1778).

(2) Never again a formal treaty of military alliance between U.S. and Europe until NATO (1949).

F. Jeffersonian naval policy.

1. Republican naval policy.

a. Cuts funds.

b. Sells all ships except thirteen frigates.

- c. Defensive naval strategy.
 - (1) Gunboats and forts.
 - (2) Small cruising frigates and ships of the line.
 - 2. Barbary Wars (Tripoli, Tunis, Morocco, and Algiers).
 - a. 1801: Tripoli declares war.
 - b. 1801: Commodore Richard Dale takes ships to Mediterranean.
 - (1) Inadequate force.
 - (2) Morris relieves, but inactive.
 - (3) Morris cashiered.
 - 3. Commodore Edward Preble: 1803.
 - a. Fosters professionalism.
 - b. Tangiers.
 - c. Tripoli.
 - (1) Philadelphia captured.
 - (2) Decatur.
 - 4. 1805: War ends.
 - a. “General” William Eaton; Derna, Libya, but no farther – beginning of Marine Corps traditions.
 - b. Tribute and ransom paid.
 - 5. 1807: Mediterranean squadron disestablished because of *Chesapeake-Leopard* Affair.
- G. Contextual Framework: The Napoleonic Wars: 1793-1815.
- 1. Napoleonic Wars 1792-1815.
 - a. Series of continuous wars between France and British coalitions (7 total) until 1815.

- b. France: Land Power (5 x the Army of Britain).
 - c. Britain: Sea Power (twice the Navy as France).
 - d. War on a large scale for the first time in history.
 - e. Cannot take the war of 1812 out of this context.
- 2. French land victories 1801-05.
 - a. By 1805, French control Spain, parts of Italy, Prussia, Netherlands.
 - b. British control of the sea contested by the French fleet.
- 3. Trafalgar – 21 October 1805.
 - a. Napoleon threatens invasion of Britain, needs local sea control.
 - b. Admiral Horatio Nelson aboard HMS *Victory* wins decisive victory over larger French and Spanish fleet.
 - c. Napoleon cancels plans for invasion of England.
 - d. Significance for U.S. Navy: Mahan's naval strategies largely based on the outcome of this battle.

H. Causes of the War of 1812.

- 1. British at war with France, 1803-15.
 - a. Smoldering American resentment toward British support for Indians in Northwest Territory.
 - b. Americans' hope to take Canada from Britain.
- 2. British begin to seize U.S. ships; neutral rights at issue.
- 3. Neutral rights categorized.
 - a. Blockade.
 - (1) United States: Must be effective to be legal.
 - (2) Great Britain: Paper blockades are binding.

- b. Visit and search of merchantmen by naval vessels.
 - (1) United States: Only in restricted areas.
 - (2) Great Britain: Virtually anywhere on high seas.
 - c. Ports closed in peacetime.
 - (1) United States: Can be opened to neutral trade in war.
 - (2) Great Britain: Must remain closed.
 - d. Impressment of American sailors into Royal Navy: The major issue.
- 4. 1807: *Chesapeake-Leopard* Affair.
 - a. Issue: Impressments, but not typical in that *Chesapeake* was a warship (rather than a merchant vessel).
 - b. Other issues:
 - (1) Sanctity of a warship as part of national territory.
 - (2) American commander's lack of readiness to fight.
 - c. Result:
 - (1) National uproar; Jefferson could have had war.
 - (2) Jefferson instead sought peaceable coercion.
- 5. Embargo Act (December 1807 to March 1809) – not effective.
- 6. 1810: War Hawks to Congress.
- 7. Increased tension finally led to war of 1812.
- I. Warfare during 1812-15.
 - 1. Continental Europe: Napoleon (land power) versus coalitions (mostly land powers).
 - 2. Maritime Europe: Great Britain (sea power) versus France (weakened at sea by Trafalgar, 1805).
 - a. British violations of neutral commerce.

- b. French riposte: “The continental system” as a blockade.
- c. *Guerre de course*, i.e., commerce raiding, and privateering practiced by both sides.
- d. Struggle again is global: Atlantic, West Indies, Mediterranean, Indian Ocean, and Pacific.
- e. But this time Britain has allies, although alliances constantly shifting.

J. U.S. naval policy in the War of 1812.

1. Strategy.

- a. John Rodgers: Squadron tactics.
- b. Stephen Decatur: Single-ship operations.
- c. Commerce raiders.
 - (1) USS *Argus* and USS *Wasp* in the English Channel.
 - (2) USS *Essex* (32-gun frigate) in the Pacific; morphed into major battle.

2. Naval administration.

- a. Small organization.
- b. Inadequate coastal defense.
- c. Limited resources.

K. Course of the war.

1. 1812.

- a. Commodore John Rodgers’ squadron.
- b. Single ship engagements.
 - (1) USS *Constitution* – HMS *Guerrière*.
 - (2) USS *Constitution* – HMS *Java*.
 - (3) USS *United States* – HMS *Macedonian*.

- (4) USS *Chesapeake* – HMS *Shannon*.
 - c. Abortive invasion of Canada.
 - (1) Lack of effective leadership.
 - (2) Small army.
 - d. Congress authorizes expanded naval building program.
2. 1813.
- a. British Strategy.
 - (1) Blockade.
 - (2) Ships and troops freed in Europe.
 - (3) Raid American coast.
 - b. Norfolk.
 - (1) Gunboats and forts.
 - (2) Repulse British attack.
3. 1814.
- a. British Blockade of the Delaware and Chesapeake Bays.
 - (1) Bottles up U.S. Navy.
 - (2) Hurts U.S. economy.
 - b. British campaigns against Washington and Baltimore.
 - (1) Raid Chesapeake Bay.
 - (2) Burning of Washington, D.C.
 - (3) Militia ineffective.
 - (4) Gunboats ineffective.
 - (5). Attempt to seize Baltimore stopped at Fort McHenry.

4. Great Lakes.

a. Lake Ontario.

- (1) Commodore Isaac Chauncey versus Sir James Lucas Yeo.
- (2) Stalemate in which British advances thwarted.

b. Lake Erie (1813).

- (1) Oliver Hazard Perry in command.
- (2) British fleet defeated; massive boost for U.S. morale.
- (3) Western British forces cut off, withdrawal; upper Mississippi River secure.

c. Lake Champlain (1814).

- (1) Lieutenant Thomas Macdonough – Drew inspiration from studying defeat of French at Battle of Nile and avoid similar tactical mistakes.
- (2) British invasion of New York along Lake Champlain-Hudson River axis.
- (3) September 11, 1814: Battle of Plattsburg.
- (4) British retreat; reprise of Valcour Island; strategic triumph, but this time also a tactical victory of U.S.: New England not cut off from other states.

L. Peace and aftermath.

1. December 24, 1814: Treaty of Ghent signed.

- a. *Status quo ante bellum*.
- b. British agree to end impressment.

2. Battle of New Orleans, early 1815.

- a. Occurred after treaty signed.
- b. Gunboats defeated at Lake Borgne.
- c. British repulsed.
- d. Andrew Jackson emerged as hero; later became seventh U.S. President.

M. U.S. naval contributions during conflict.

1. Victory on lakes.
 - a. Forced British out of west.
 - b. Prevented invasion of New York.
 - c. Created strategically valuable stalemate.
2. Commerce raiding – ultimately ineffective.
3. Single ship engagements.
 - a. Boost to national morale.
 - b. Ineffective against blockade.

N. British capabilities at sea during war.

1. Although the Napoleonic wars were a constant distraction, British sea power nonetheless was effective throughout the War of 1812.
2. Mobility enjoyed no matter how extensive other distractions.
3. Hurt commerce and the U.S. Navy in the Atlantic

O. Conclusions.

1. Gunboats and militia failed in coastal defense role.
2. Small navy could not prevent blockade.
3. No postwar demobilization of U.S. Navy.
 - a. Emerged stronger.
 - b. U.S. Navy held in high public esteem.

**NAVAL RESERVE OFFICERS TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

LESSON GUIDE: 4

HOURS: 1

TITLE: The U.S. Navy, 1815-1860: Power Projection and Technological Revolution

I. Learning Objectives:

- A. The student will comprehend the effectiveness of the U.S. Navy as an instrument of diplomacy during the period and cite examples.
- B. The student will know the state of naval technology and its evolution during this period.
- C. The student will comprehend U.S. naval policy as a reflection of the period of 1815-60.
- D. The student will comprehend the Charles Wilkes and Matthew C. Perry expeditions and assess their importance to U.S. maritime interests.
- E. The student will comprehend the lessons of the Mexican War of 1846-48.

II. References and Texts:

A. Instructor references:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapters 4 and 5.
- 2. *American Way of War*, Chapter 4.
- 3. *This People's Navy*, Chapters 4 and 5.
- 4. *Historical Atlas of the U.S. Navy*, pp. 57-75.
- 5. *American Naval History*.
- 6. *Quarterdeck & Bridge*: Robert Stockton and Matthew Calbraith Perry.

B. Student texts:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapters 4 and 5.

III. Instructional Aids:

- A. Official NROTC Sea Power lectures and documents.

B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures:

A. Method options.

1. Lecture/Discussion.
2. Show video/video segments.
3. Incorporate slides with lecture.

B. Procedural and student activity options: Reading assignment.

V. Presentation:

A. Period of expansion.

1. Manifest Destiny: “Our manifest destiny [is] to overspread the continent allotted by Providence for the free development of our yearly multiplying millions.”
-- John L. O’Sullivan, 1845 (gold rush, Oregon Trail, Wild West, etc.)
2. Monroe Doctrine (1823): European powers were not to colonize or intervene in American affairs (North, Central, or South America).

B. Reorganization and modernization of the U.S. Navy.

1. Postwar navy increases in size, no postwar reduction (which is unusual).
 - a. Secretary of the Navy calls for Board of Commissioners (established 1815).
 - (1) Three senior captains.
 - (2) Logistical responsibilities.
 - (3) Advise regarding ships’ deployments.
 - (4) Secretary of the Navy deploys force and personnel.
 - b. Primary mission of the U.S. Navy during this time (1815-60): Protect U. S. commerce abroad.
 - c. Permanent squadrons established.
 - (1) Mediterranean Squadron.

- (a) Best duty.
 - (b) Greek pirates, 1820.
 - (c) Watch the Barbary Coast.
 - (2) West Indies Squadron: David Porter removed pirates from Cuba (turns the pirates over to British); due to Fajardo, Puerto Rico incident, 1824 (one of Porter's officers was briefly jailed; Porter landed with 200 men and demanded the mayor make a public apology or have his town "blown off the map"), Porter was relieved; becomes commander of Mexican Navy.
 - (3) Brazil Squadron.
 - (a) Patrol east coast of South America.
 - (b) Protect American merchant vessels from random seizures.
 - (c) Enforce the Monroe Doctrine.
 - (d) Prosecute the slave trade, i.e., interdict slavers and raid them on coast of west Africa.
 - (4) Pacific Squadron
 - (a) Support diplomatic effort with Argentina and Chile
 - (b) Recover captured U.S. ships
 - (c) Keep a watchful eye on Hawaii to deter European colonization, which the "Tyler Doctrine" of 1842 had proclaimed would be a violation of U.S. national interests
 - (5) East Indies Squadron
 - (a) Protect expanding U.S. trade in Asia
 - (b) Pirates in Sumatra, 1838.
2. Secretary of the Navy, Abel P. Upshur, 1841-42.
- a. Led efforts to expand, modernize, and reform the U.S. Navy.
 - b. Established five bureaus to replace obsolete, stagnant Board of Commissioners:

- (1) Bureau of Navy Yards and Docks.
- (2) Bureau of Ordnance and Hydrography.
- (3) Bureau of Construction, Equipment, and Repair.
- (4) Bureau of Medicine and Surgery.
- (5) Bureau of Provisions and Clothing.

3. 1845: Secretary of the Navy George Bancroft established the U.S. Naval Academy.

C. Naval diplomacy and war.

1. Lieutenant Charles Wilkes Expedition, 1838-42.

- a. Gathered scientific knowledge.
- b. Charted Fiji, Samoa, Gilberts, Antarctica, and North American west and Northwest coast. Recognized strategic/trade importance of San Francisco and whole West Coast.
- c. Natural science collections became basis of the Smithsonian Institution collections.

2. 1846-48: Mexican War.

- a. Caused by a border dispute with the independence of Texas and by President James K. Polk's desire for ports on the Pacific Coast.
- b. U.S. Navy is in a dominant position for the first time.
- c. Commodore John D. Sloat Lands party at Monterey, California, and claims the region for the United States.
- d. Combined U.S. Navy/U.S. Army amphibious operations at Vera Cruz. Largest amphibious landings prior to World War II.
 - (1) General Winfield Scott marches inland to Mexico City with 10,000 soldiers and Marines.
 - (2) Scott occupies Mexico City for six months while diplomats arrange surrender of Mexico and cession of California and much of the present-day Southwest of the United States.

- e. U.S. Navy had command of the sea throughout the war; U.S. Navy gained bases on Pacific Coast; Army-Navy cooperation was excellent at Vera Cruz.
 - 3. Matthew C. Perry's Expedition to Japan, 1854.
 - a. "Opens" Japan to the West; induces political modernization and industrialization.
- D. Technology.
- 1. Steam.
 - a. Matthew F. Maury and Matthew C. Perry – Leading advocates.
 - b. 1842: *Mississippi* and *Missouri* completed (steam-powered, wooden-hulled, paddle wheelers). Construction had been authorized in 1839.
 - c. 1842-43: *Princeton*, first screw-propelled, ironclad warship in the world. Had a gun called the "Peacemaker" designed by Captain Robert F. Stockton. On an inspection voyage, Stockton's gun exploded killing Secretary of State Upshur, Secretary of the Navy Thomas Gilmer, and four others.
 - d. Screw propulsion challenged paddlewheels.
 - 2. Armor (European nations were in the lead).
 - a. Crimean War (Russians versus Turks; British and French join in to block Russian expansion into Black Sea), 1854-56: Proved wooden-hulled ships were obsolete, could not hold up to explosive shell fire.
 - b. 1858: French 36-gun frigate *Gloire*. First seagoing ironclad; 5,600-ton displacement.
 - c. 1859: British ironclad battleship *Warrior*. 4.5-inch iron belt backed by 18 inches of teak; 40 guns; 9,000-ton displacement.
 - 3. Ordnance.
 - a. Dahlgren's Gun ("Father of Modern Naval Ordnance") – Technological advancement based on the curvature of the gun shaft creating pressures from the expanding gas that originated from the gunpowder; smooth bore.
 - b. Stockton's Gun "Peacemaker" – twelve inches in diameter, thick metal reinforced with wrought iron; explosion on *Princeton* set back U.S. naval ordnance development by two decades.

E. Conclusion.

1. Period of U.S. territorial and commercial expansion, gold rush, Oregon, etc.
 - a. Navy grew somewhat in earlier years, but professionalism and technology remained relatively stagnant after 1850, in part because of growing national crisis over expansion of slavery.
 - b. Relative peace throughout period (a few pirates; Mexican War; general peace in Europe).
 - (1) U.S. held defensive and isolationist policy in relation to Europe.
 - (2) People lost interest in the U.S. Navy over the years.
 - (3) Sectional division over slavery paralyzed naval development.
2. U.S. Navy unprepared for war in 1860.
 - a. Mostly sail; hybrids of sail and steam used steam/propeller for auxiliary power, eight to ten knots maximum speed; cruise under sail, fight under steam.
 - b. Few new weapons.
 - c. Small, old fleet.
3. Nonetheless, tradition of global support of commercial expansion.
 - a. Commodore David Porter in Caribbean.
 - b. Lieutenant Charles Wilkes' exploration of the Pacific Ocean (1838-42).
 - c. Matthew F. Maury's charts of the oceans' winds and currents enabled sailing vessels to cross oceans more rapidly.
 - d. Five squadrons dispersed around world: Pacific, East Asia, Latin America, Europe and Mediterranean.
 - e. Matthew C. Perry in Japan (mid-1850s) – historic deployment in every sense of the word.
 - f. Acquisition of Pacific Coast bases in Mexican War

**NAVAL RESERVE OFFICERS TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

LESSON GUIDE: 5

HOURS: 2

TITLE: The Civil War, 1861-1865: Two American Navies

I. Learning Objectives:

- A. The student will comprehend the role of the Union Navy in the strategy for the defeat of the Confederacy.
- B. The student will comprehend the role of the Confederate Navy in the strategy for the defeat of the Union.
- C. The student will know the reasons for the vital importance of acquisition of European allies in the Confederate naval strategy.
- D. The student will know (list) the innovations in naval weapons and technology that emerged during the Civil War.

II. References and Texts:

A. Instructor references:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapters 6 and 7.
- 2. *American Way of War*, Chapters 5-7.
- 3. *This People's Navy*, Chapter 6.
- 4. *Historical Atlas of the U.S. Navy*, pp. 77-105.
- 5. *American Naval History*, pp. 65-91.
- 6. *Quarterdeck & Bridge*: David Glasgow Farragut and Raphael Semmes.

B. Student texts:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapters 6 and 7.

III. Instructional Aids:

- A. Official NROTC Sea Power lectures and documents.

B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures:

A. Method options.

1. Lecture/Discussion.
2. Incorporate slides with lecture.
3. Show video segments.

B. Procedural and student activity options: Reading assignment.

V. Presentation:

A. Background.

1. Relative balance of power (North to South): population, exports, shipyards, industry, transportation (railroads).
2. Naval comparisons.
 - a. Yards.
 - b. Builders.
 - c. Industrial base.
 - d. Ships.
 - e. Leaders.
3. The common operational heritage.
 - a. War of 1812 – blue water and brown water: Fighting from an inferior position.
 - b. 1815-46 – “gunboat diplomacy”: The importance of maritime commerce.
 - c. 1846-48 – Mexican War: The first offensive American naval war; ports on the Pacific.
 - (1) Junior officers, who would be senior officers in the Civil War, learned strategy and tactics for operating on rivers.
 - (2) David Dixon Porter is prime example.

- d. 1848-60 – Naval technological obsolescence *vis-à-vis* the Royal Navy; apogee of the American merchant marine and the whalers.
 - 4. The Confederate States Navy: Legatee of the American naval tradition – coastal defense and commerce raiding (*guerre de course*).
 - 5. The Union Navy: Legatee of the Royal Navy and of the U.S. Navy in the Mexican War – offensive naval warfare.
- B. The diplomacy of the Civil War.
- 1. The North's strategy: Keep Britain truly neutral; to reconcile the blockade of southern ports with British freedom of trade.
 - a. Minister Charles Francis Adams (son of John Quincy, grandson of John) in London did magisterial job, often in face of opposition from Secretary of State William Seward.
 - b. Problem: Strong pro-Confederacy sentiment in important segments of British policy-making elites.
 - 2. The South's diplomatic goal: Win British recognition and naval aid.
 - a. Naval Agent James Bulloch (uncle and source of inspiration to Theodore Roosevelt) in London did superb job of getting as much as possible from "neutral" Great Britain.
 - b. Problems.
 - (1) War was a rebellion; not between sovereign nations.
 - (2) Outcome of war uncertain, thus British cautious.
 - (3) Diplomatic inexperience of Confederacy and weak State Department.
 - (4) Fallacy of "King Cotton" thesis.
 - c. Outcome: Ultimately a failure.
 - (1) British give limited aid.
 - (2) Naval Agent James Bulloch gets that aid.
 - (a) Commerce raiders (*Alabama*, *Florida*, *Shenandoah*).

- (b) Blockade-runners.
- (c) Laird rams (clearly warships; blockade breakers; never delivered).
- (3) Battle of Antietam (September 1862) and Charles F. Adams' protests end aid.

C. Strategies of the Civil War.

1. Northern strategy: From strength.
 - a. "Anaconda Plan": Surround Confederacy on Atlantic, Gulf and Mississippi; then strangle it.
 - b. British blockade strategy as model: Blockade the entire southern coast.
 - c. Take southern ports for coal, water, food: Bombardment and amphibious assaults.
 - d. Riverine operations, especially on the Mississippi.
 - e. Combined army-navy operations whenever possible.
2. Southern strategy: From weakness.
 - a. Coastal defense.
 - (1) Blockade breaking.
 - (2) Blockade-running: Hurt by desire for luxuries, growing Northern blockade.
 - b. Commerce raiding.
 - (1) Privateers (through 1861 only) (Declaration of Paris, 1856).
 - (2) Confederate States Navy (*Alabama* especially).
 - (3) No prize courts (problem of sovereignty).

D. Tactical trends in the Civil War.

1. Introduction of ironclads: Significant strengths (tactical mobility) and weaknesses (loss of strategic mobility).
2. Question of a fleet's ability to suppress coastal fortifications was not answered.

3. Appreciation for combined (army-navy) operations.
4. Technological innovation.
 - a. North: *Monitor* – steam, armor, turret – built in large numbers; stasis in ordnance – no innovation.
 - b. South: *Virginia* – steam, armor – virtually one of a kind.
 - (1) CSS *Hunley*.
 - (2) The “Davids.”
 - (3) Remote-control and proximity mines.
 - (4) Laird rams.

E. Conclusions.

1. “Flight from flag”: Decline of U.S. merchant marine – U.S. merchant marine was already obsolescent because it was entirely based on sailing vessels (e.g., the famous clipper ships).
2. Despite Northern success in application of British-like offensive naval warfare, and despite the failure of Southern commerce raiding to win the war at sea, after the war U.S. naval officers regarded commerce raiding (especially the *Alabama*) as once again the proper American naval strategy.
3. It was against the legacy of the *Alabama*’s success under Captain Raphael Semmes that Captain Alfred T. Mahan directed his command-of-the sea strategy in lectures at the Naval War College in the 1880s and in his book, *The Influence of Sea Power upon History, 1660-1783* (1890).
4. The Union blockade and the aggressive use of gunboats on the western rivers represented a continuation of the “Anaconda Plan” proposed by General Winfield Scott at the beginning of the war and allegedly abandoned in favor of an offensive strategy of attacking the heart of the South. The strategic offensive of the Union forces culminated ultimately in William Tecumseh Sherman’s burning of Atlanta and “March to the Sea.” David Glasgow Farragut’s assault on Mobile Bay (August 1864) can be seen as an adjunct to Sherman’s offensive.
5. Joint army-navy operations reached an unprecedented level of high efficiency under Ulysses S. Grant and David Dixon Porter on the Mississippi River and its tributaries.

6. This new, high level of army-navy cooperation reached its zenith with the second amphibious landing at Fort Fisher, North Carolina (January 1865), resulting in the capture of Wilmington, North Carolina, the last remaining open port supporting General Robert E. Lee's army.
7. The "Alabama Claims" caused a diplomatic dispute with Great Britain lasting until 1871, and the Union blockade set a precedent that President Woodrow Wilson found highly inconvenient from 1914-17.

**NAVAL RESERVE OFFICERS TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

LESSON GUIDE: 6

HOURS: 1

TITLE: Developments of Naval Technology and Strategy, 1865-1890

I. Learning Objectives:

- A. The student will know (recognize) the principal changes affecting warship hull design and propulsion during the period 1865-90.
- B. The student will know the principal milestones in the evolution of warship armament during the period.
- C. The student will know principal naval weapons systems conceived or adopted by nations desiring inexpensive methods to overcome or neutralize expensive naval hardware, such as the capital ship.
- D. The student will know the technological responses of the major naval powers to counter the threats of low cost weapons.
- E. The student will know the reasons HMS *Warrior* marks the beginning and end of this period as a major step in the evolution of the principal weapons of naval might.
- F. The student will know congressional attitudes toward the U.S. Navy in this postwar period.
- G. The student will comprehend (explain) the difficulty in maintaining technological leadership and the debate over whether to remain technologically current.
- H. The student will comprehend the reasons for the rebuilding of the U.S. Navy and the historical conditions accounting for the emergence and success of Captain Alfred Thayer Mahan's lectures and book.

II. References and Texts:

A. Instructor references:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 8.
- 2. *American Way of War*, pp. 128-52.

3. *This People's Navy*, Chapter 6.
4. *Historical Atlas of the U.S. Navy*, pp. 105-7.
5. *American Naval History*.
6. *Quarterdeck & Bridge*: David Dixon Porter and Stephen B. Luce.

B. Student texts:

1. *In Peace and War*, 30th Anniversary ed., Chapter 8.

III. Instructional Aids:

- A. Official NROTC Sea Power lectures and documents.
- B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures:

- A. Method options.
 1. Lecture/Discussion.
 2. Show video/video segments.
 3. Incorporate slides with lecture.
- B. Procedural and student activity options: Reading assignment.

V. Presentation:

- A. Discuss the configuration of the typical warship of the world's navies in 1865.
- B. Illustrate the beginnings of technological change by discussing HMS *Warrior*, USS *Monitor*, and the ships and weapons employed at the Battle of Lissa between Austria and Italy in 1866.
- C. Discuss the evolution in major warship hull construction from the end of the Civil War to the first battleships, including:
 1. Construction materials.
 2. Compartmentalization/Underwater protection.
 3. Armor protection.

- D. Discuss the evolution of warship guns, including:
 - 1. Main batteries/Secondary and other batteries.
 - 2. Ranges, propellant charges, and types of projectiles.
 - 3. Methods of mounting and loading.
 - 4. Rates of fire and accuracy.
- E. Discuss ship propulsion innovations of the period, including:
 - 1. Types of engines.
 - 2. Fuels.
 - 3. Ships' steaming endurance and logistic considerations, including requirements for bases and fuel stockpiles.
 - 4. Shipboard electrical and hydraulic auxiliary systems.
- F. Illustrate the developments of low cost weapons systems designed to exploit the vulnerabilities of the capital ship.
 - 1. Ship-launched torpedoes.
 - 2. Submarine-launched torpedoes.
 - 3. Mines.
- G. Discuss the countermeasures for the above, including:
 - 1. Protective features incorporated into capital ship weapons and hull design.
 - 2. Development of alternate countering systems.
 - a. Torpedo boat destroyer.
 - b. Minesweeper.
- H. 1865-80: Decline and stagnation of the U.S. Navy.
 - 1. Description of the decline.

- a. Massive postwar reduction (U.S. Navy declined from third to twelfth in ranking).
 - b. Lost status as naval pioneer (retained old Dahlgren smooth bores and obsolete wooden frigates).
 - c. Naval rationale: Let European navies pay for technological innovation and experimentation.
- 2. Reasons for decline.
 - a. Congressional parsimony.
 - b. Preoccupation with reconstruction of the South.
 - c. Belief that U.S. was not belligerent; isolationism; Europe preoccupied in Old World.
 - d. Limited naval mission; showing the flag and protecting commerce in Asia, Africa, Latin America.
 - e. The *Virginius* crisis of 1873 as nadir of the post-Civil War navy.
- I. 1881-90: Rebirth of the U.S. Navy.
 - 1. Technology: *ABCD* ships.
 - a. Steam (some sail).
 - b. Armor.
 - c. Ordnance: Impact fuse, rifled cannon, built-up breeches.
 - 2. Professionalism.
 - a. Naval Institute (1873).
 - b. Office of Naval Intelligence (1882).
 - c. Naval War College (1884).
 - (1) Mahan's lectures (1885-89).
 - (2) Lectures become basis for Mahan's book, *The Influence of Sea Power upon History, 1660-1783* (1890).

3. The Samoan crisis of 1889 was evidence of U.S. diplomatic and naval determination to challenge the great powers in areas of special national interest.

J. Conclusions.

1. The U.S. Navy reached an apotheosis during the Civil War that was lost shortly after 1865, not to be regained until the twentieth century.
2. In the intervening decades, Great Britain led the world in promoting the development of modern naval technology.
3. The decline of the U.S. Navy ended about 1880, and by 1890, a renaissance was in full swing.
 - a. Dominant evidence was Captain Alfred Thayer Mahan's book, *The Influence of Sea Power upon History, 1660-1783* (1890).
 - b. Equally significant were the new battleships utilizing Mahan's strategy of command of the sea and clearly displaying the industrial maturation of the United States.

**NAVAL RESERVE OFFICERS TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

LESSON GUIDE: 7

HOURS: 1

TITLE: The Dawning of the Age of Mahan, 1890-1898

I. Learning Objectives:

- A. The student will comprehend the historical background to the popularization of the doctrine of sea power in the late nineteenth century.
- B. The student will comprehend (explain) Captain Alfred Thayer Mahan's viewpoint of sea power as a geopolitical and naval concept.
- C. The student will comprehend the distinctive British interpretation of sea power as expounded by Sir Julian Corbett.
- D. The student will comprehend Alfred Thayer Mahan's influence on European and American naval history between 1890 and 1898.

II. References and Texts

A. Instructor references:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 9.
- 2. *American Way of War*, Chapter 9.
- 3. *This People's Navy*, Chapter 7.
- 4. *American Naval History*.
- 5. *Quarterdeck & Bridge*: Alfred Thayer Mahan.

B. Student texts:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 9.

III. Instructional Aids:

- A. Official NROTC Sea Power lectures and documents.
- B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures:

A. Method options.

1. Lecture/Discussion.
2. Show video/video segments.
3. Incorporate slides with lecture.

B. Procedural and student activity options: Reading assignment.

V. Presentation:

A. Introduction.

1. From 1865 to 1885, commerce raiding and coastal defense were the accepted strategies of the U.S. Navy. In an age of technological change, these ideas began to seem obsolete to an influential group of American naval leaders.
2. 1884: Rear Admiral Stephen B. Luce established the Naval War College. Mahan was assigned there.
3. Mahan's lecture notes become the basis for his book, *The Influence of Sea Power Upon History*, published in 1890.
 - a. The book brought Mahan fame in his lifetime and ever since.
 - b. The context of the book is late nineteenth century during times of peace as well as war. This had understandable appeal to industrialists, merchants interested in overseas trade, investors, nationalists, and imperialists, and peacetime America. Mahan provided a powerful argument for achieving and preserving sea power

B. Mahan's interpretation of "sea power"

1. Mahan said strategic principles "remain as though laid on a rock." Geopolitical principles underlying national (and maritime) greatness:
 - a. Geographic position.
 - b. Physical conformation.
 - c. Extent of territory.
 - d. Number of population.

- e. Character of the people.
 - f. Character of the government.
2. Tactics were conditioned by changing types of naval armaments.
 - a. Tactics were aspects of operations occurring after the beginning of combat.
 - b. While Mahan recognized clearly that tactics were fluid due to changes in armaments, he did not view strategy in the same way. He did not realize the extent to which technology would affect, for instance, the validity of some of his six elements of sea power.
 3. Mahan identifies some important “strategic questions”:
 - a. Question: What are navies’ functions? What are their objectives? Answer: “To command the seas.”
 - b. Question: How should navies be concentrated? Answer: In battle fleets.
 - c. Question: Where should the coaling stations needed to support them be established? (This is a key question to bear in mind for later discussion.) Answer: At geographic “decisive points” (e.g. Capetown, Hawaii, Panama).
 - d. Question: What is the value of commerce destruction, and should this be a primary or secondary goal of naval action? Answer: It cannot win wars, for example, CSS *Alabama*; it can only be a secondary goal of naval action.
 4. Mahan perceived colonies as valuable locations for coaling stations for a steam-driven battleship navy.
 5. Mahan viewed the possibility of an isthmus passage (later to be realized in the form of Panama Canal) as necessary for U.S. naval power, since this would become by definition a critical maritime “choke-point” – the U.S. Navy is a “two-ocean” navy.
 6. Essence of Mahan from a naval viewpoint.
 - a. A great navy is a mark and prerequisite of national greatness.
 - b. A great navy is one designed to fight an enemy in fleet engagements in order to win command of the sea, not one designed for commerce raiding or *guerre de course*.
- C. British “sea power”: Sir Julian Corbett’s critique of Mahan.

1. Points of agreement with Mahan: Corbett agrees with Mahan that command of the sea is of prime importance, that commerce raiding (or *guerre de course*) is the strategy of the weaker power and that lines of communication are crucial in warfare.
2. Differences from Mahan.
 - a. Mahan was strongly influenced, as were most army officers of the period, by the writings of Baron Antoine-Henri de Jomini, a Swiss writer on strategy in Napoleon's campaigns. Jomini's work depended heavily on fixed principles that could be stated with mathematical precision and comprehensiveness.
 - b. Corbett based his development of naval strategy not only on Mahan, but also on the strategic principles of Carl von Clausewitz (discussed below). Clausewitz's thinking, as it came to be more fully understood, stressed the relationship of strategy to government policy, the interdependence of all elements of national power, and the contingency of any set of principles regarding war. All of this gives Corbett's writing a distinction from Mahan's.
 - c. While command of the sea is important, the normal state of affairs is an "uncommanded" sea; control of the sea, as and where required, is often sufficient.
 - d. The interdependence of land and sea forces is crucial to the success of a national military effort (e.g., Trafalgar by itself, as only a naval victory, was insufficient to decide the Napoleonic wars).
 - e. Technology may in some cases influence outcome more than tactics; strategic thinking itself may have to be changed.
 - f. While winning a decisive battle against the enemy's main fleet is a worthy ideal, in actuality the navy may have other, more important missions in support of national policies. Corbett saw three such areas in terms of complementary pairs. In a given situation, the navy's main purpose may be:
 - (1) Sea control: Establish such control/deny it to the enemy.
 - (2) Combined operations: Support one's army/hinder the opponent's armies.
 - (3) Commerce war: Protect one's sea lines of communication (SLOC) and destroy the opponent's communications.
 - g. Above all, naval strategy must always be seen as a component of overall national strategy and in support of national political goals. Naval supremacy is not an end in itself.

D. 1889-98, Mahan's decade.

1. Concept of "sea power."
 - a. Strategic conclusion: Command of the sea equals greatness.
 - b. Operational conclusion: Fleet engagements (vice commerce raiding) and a battle fleet.
2. Impact of Mahan.
 - a. On Britain, Germany, and Japan.
 - b. On United States (via Theodore Roosevelt).
3. Concurrent naval developments (refer to Lesson 8).
4. Complementary foreign policy developments.
 - a. Samoa (1889): Contest with Britain and Germany for possession.
 - b. Hawaii (1891-98): Question of annexation.
 - c. Venezuelan crisis (1895-96): Challenge to Britain in Western Hemisphere.
 - d. Cuban Revolution (1895-98): Spanish oppression.
5. Culmination of the decade: Spanish-American War (1898).

**NAVAL RESERVE OFFICERS TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

LESSON GUIDE: 8

HOURS: 1

TITLE: The U.S. Navy and American Imperialism, 1898-1914

I. Learning Objectives:

- A. The student will know the influence of the mass media in U.S. relations with Spain and the effect of the destruction of the USS *Maine* on public opinion.
- B. The student will comprehend the impact of Mahanian doctrine on the naval strategy and thinking in preparation for and conduct of the war.
- C. The student will comprehend the reasons for the acceleration of U.S. Navy expansion following the war with Spain.
- D. The student will know the effect of the Progressive Era in domestic politics on the U.S. Navy.
- E. The student will comprehend the threats and resultant actions taken by the United States concerning activities in the Pacific and Caribbean during the period 1900-14.

II. References and Texts:

A. Instructor references:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 10.
- 2. *One Hundred Years of Sea Power*, Chapter 2.
- 3. *This People's Navy*, Chapter 8.
- 4. *Historical Atlas of the U.S. Navy*, pp. 108-24.
- 5. *American Naval History*, pp. 101-31.
- 6. *Quarterdeck & Bridge*: George Dewey.

B. Student texts:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 10.

III. Instructional Aids:

- A. Official NROTC Sea Power lectures and documents.
- B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures:

- A. Method options.
 - 1. Lecture/Discussion.
 - 2. Incorporate slides with lecture.
 - 3. Show video/video segments.
- B. Procedural and student activity options: Reading assignment.

V. Presentation:

- A. Introduction: Review of causes of Spanish-American War.
 - 1. Cuban Revolution (1895-98) – U.S. investments threatened.
 - 2. Yellow journalism – Spanish atrocities and lack of humanitarianism.
 - 3. USS *Maine* explodes in Havana Harbor (February 15, 1898).
 - a. Mission: Protect U.S. lives and property.
 - b. Public outcry.
- B. Fighting the war.
 - 1. Geography.
 - a. Spanish empire: Cuba, Puerto Rico, Philippines, Guam.
 - b. U.S. strategic interests.
 - (1) Panama Canal (since 1846) and/or Nicaragua .
 - (2) Hawaii (lingering unratified treaty of annexation).
 - 2. U.S. forces.

- a. Atlantic naval forces: William T. Sampson/Winfield Scott Schley.
 - b. Asiatic Squadron: George Dewey (mostly in China and Japan).
- 3. Cuba.
 - a. Blockade of Santiago harbor (note that Dewey fought first, on May 1, 1898).
 - b. Amphibious landing at Daiquiri on June 20, 1898, (Theodore Roosevelt and the “Rough Riders”).
 - c. Destruction of Admiral Pasqual Cervera’s Spanish fleet, on July 3, 1898.
 - (1) Sampson/Schley command controversy.
 - (2) Naval results.
 - (a) Spanish Home Fleet recalled while en route to the Philippines.
 - (b) U.S. technological superiority proves overwhelming (battleships and big guns).
 - (c) U.S. control of the Caribbean.
 - (d) Improvement needed in fire control and amphibious doctrine.
- 4. Pacific.
 - a. Philippines: Phase one.
 - (1) Dewey’s descent May 1, 1898 (before Cuban naval campaign).
 - (2) Spanish fleet sunk at anchor.
 - (3) Dewey a national hero.
 - (4) Siege of Manila begins.
 - b. Other islands.
 - (1) Wake Island seized.
 - (2) Guam seized.
 - (3) Hawaii annexed by joint resolution of Congress.

c. Philippines: Phase two.

(1) War against Emilio Aguinaldo's Philippine Nationalists.

(2) U.S. bogged down.

C. Results of the war.

1. U.S. empire.

a. From Spain.

(1) Possession of Puerto Rico, Guam, Philippines.

(2) Naval base in Cuba.

b. Formerly independent: Wake, Hawaii, Samoa (Harbor of Pago Pago).

2. For the U.S. Navy.

a. Battleships enshrined as principal warship; new construction programs to be completed by 1905.

(1) Ten first-rate battleships.

(2) Four armored cruisers.

(3) Seventeen other types.

b. Mahan's advocacy of fleet engagements vindicated (implicit challenge to commerce raiding, although commerce raiding was not tried in the war).

c. Global empire yields bases and expanded obligations.

d. Dewey promoted to four-star admiral and ordered to head new General Board; first peacetime U.S. strategic planning.

(1) Devise war plans.

(2) Assessment of foreign navies.

(3) Influenced President and Secretary of State.

e. Renewed desire for isthmian canal to link Atlantic and Pacific Fleets; construction begun under President Theodore Roosevelt, ten years (1904-14).

D. Progressive Era politics and the U.S. Navy (1901-14).

1. Strong presidents: Theodore Roosevelt, William H. Taft, Woodrow Wilson.
2. Supportive Republican Congress funds battleships and canal.
3. Admiral Dewey and General Board have access to Secretary of the Navy and/or the President.
4. For even stronger U.S. Navy voice, position of Chief of Naval Operations (CNO) created (1915).

E. Prewar international concerns (1900-14).

1. Expanding interests of Germany produces U.S. attention in Caribbean.
2. Expanding interests of Japan produces U.S. attention in Pacific.

F. The Caribbean (focus of U.S. Navy).

1. The threat: Germany.
 - a. U.S. has stake in Caribbean.
 - (1) Previous annexation of Puerto Rico.
 - (2) Naval base in Cuba.
 - b. Germany has strong interest in Latin America.
 - c. Venezuela Crisis (1902).
 - (1) Germany wants base there.
 - (2) Germany (plus Britain, Italy) blockades to recover from default on \$12.5 million loan.
2. U.S. fortifies the Caribbean.
 - a. Roosevelt Corollary to the Monroe Doctrine.
 - (1) Monroe Doctrine.
 - (a) Non-colonization.
 - (b) “Hands off” the New World.

- (c) American noninvolvement in European quarrels.
- (2) The corollary (December 1904): Ensuring “hands off” requires U.S. to be “international police power” in Western Hemisphere.
- b. Panama Canal: Joining the two-ocean navy.
 - (1) President Roosevelt supports Colombian revolutionaries.
 - (2) President Roosevelt formally recognizes Republic of Panama as a sovereign state.

G. The Pacific.

- 1. The threat: Japan.
 - a. The U.S. stake: Hawaii, Philippines.
 - b. Japan, as a foe of Russia/China, is first perceived as U.S. ally.
 - c. Ally turns into possible enemy.
 - d. 1904-05: Russo-Japanese War: Japan emerged in command of the western Pacific.
- 2. The U.S. responds to Pacific threat.
 - a. Around-the-world cruise of the “Great White Fleet” (1907-09).
 - (1) To intimidate Japan and to show the world America’s new naval might as a first-rate great power.
 - (2) Sixteen pre-*Dreadnought* battleships circumnavigated the globe, arriving in Hampton Roads, Virginia, in February 1909, without having suffered a single serious breakdown!
 - (3) Remarkable demonstration of U.S. industrial-technological prowess.
 - b. Philippine Islands remained America’s “Achilles’ heel” in the Pacific (Roosevelt).
 - c. Solution: War Plan Orange (General Board, 1911).
 - (1) Initial loss of Philippines, Guam.

- (2) Fall back to Aleutians, Hawaii, or Panama Canal.
- (3) Re-group the battle fleet.
- (4) Sortie west, seeking Japanese battle fleet for climactic Mahanian engagement and then reoccupy Philippines.
- (5) Plan Orange remained basic U.S. naval strategy for war in the Pacific until World War II, and even into World War II. U.S. Army never concurred.

H. The technology of an Imperial Navy.

- 1. *Dreadnought* battleship (1906): The “All-Big-Gun Ship.”
 - a. British origin.
 - b. Design concept: 12/12/24, i.e., 12-inch guns, 12 inches of armor, 24 knots.
 - c. Captured world attention: An unequaled weapons system at sea (the ultimate Mahanian ship).
 - d. U.S. follows Britain in *Dreadnought* construction.
- 2. Gunnery (Captain William Sowden Sims and Captain Bradley Fiske).
 - a. Better aiming and firing.
 - b. Better overall fire control and fleet coordination.
- 3. President Theodore Roosevelt endorses the *Dreadnought* concept and lobbies Congress for construction of a fleet based on the “all-big-gun ship.”

**NAVAL RESERVE OFFICERS TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

LESSON GUIDE: 9

HOURS: 1

TITLE: The U.S. Navy and World War I, 1914-1918

I. Learning Objectives:

- A. The student will know the events leading to the entry of the United States into World War I.
- B. The student will comprehend U.S. strategy and diplomacy in World War I.
- C. The student will comprehend the effect of the events of World War I on Mahanian theory.

II. References and Texts:

A. Instructor references:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 11.
- 2. *American Way of War*, Chapter 10.
- 3. *One Hundred Years of Sea Power*, Chapters 3 and 4.
- 4. *This People's Navy*, Chapter 8.
- 5. *Historical Atlas of the U.S. Navy*, pp. 126-30.
- 6. *American Naval History*, pp. 130-8.
- 7. *Quarterdeck & Bridge*: William Sowden Sims.

B. Student texts:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 11.

III. Instructional Aids:

- A. Official NROTC Sea Power lectures and documents.
- B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures:

A. Method options.

1. Lecture/Discussion.
2. Show video/video segments.
3. Incorporate slides with lecture.

B. Procedural and student activity options: Reading assignment.

V. Presentation:

A. Introduction

1. Major Allied Powers: U.S. (beginning in 1917), Great Britain, Russia, and France (and later Italy), in Europe; Japan in Pacific; U.S. beginning in April 1917.
2. Major Central Powers: Germany, Austria-Hungary, Turkey.
3. Major naval and maritime events preceding U.S. entrance of April 1917.
 - a. Germany announces unrestricted submarine warfare (February 1915).
 - b. *Lusitania* sunk by U-boat (May 1915).
 - c. Australian and New Zealand Army Corps (ANZAC) landing at Gallipoli (1915).
 - (1) Disaster for Allies; Turks push them back into the sea.
 - (2) Becomes the action most studied by U.S. Marine Corps in developing amphibious doctrine and weapons, 1919-39.
 - d. *Sussex* pledge to restrict submarine warfare (March 1916).
 - e. Battle of Jutland (May-June 1916).
 - (1) Greatest naval battle to date.
 - (2) Minor strategic importance: German High Seas Fleet remained bottled up.

- (3) Tactical lesson: Speed and long-range gunfire outstripped the commander's means of observation and control of his own forces.
 - (4) Only fleet action of the war.
 - (a) Seemed to fit the Mahanian prescription.
 - (b) British unhappy because it was not a Nelsonian victory of annihilation.
 - (c) Admiral Chester Nimitz later says it was the battle most studied by the Naval War College in the interwar years (1919-39).
- f. Germany resumes unrestricted submarine warfare (January-February 1917).
- g. April 1917: U.S. declares war.
- 4. Causes for U.S. entrance on side of Allies.
 - a. Shift in European balance of power.
 - b. Unrestricted submarine warfare.
 - c. Cultural and economic ties to Allied nations.
- B. U.S. naval strategy in World War I. The period of neutrality (August 1914 – April 1917).
 - 1. President Wilson: "Neutral in thought and deed."
 - 2. Favorable balance of payments for U.S. with Europe.
 - 3. Naval matters enter American consciousness.
 - a. President Wilson converts to pro-navy viewpoint.
 - b. Forty-eight capital ships planned for U.S. Navy by 1920.
 - (1) Naval construction act of 1916.
 - (2) Impact of Jutland.
 - 4. U.S. joins the Allies (defensive superiority in the Atlantic; offensive superiority in the Pacific), April 1917 – November 1918.
 - a. Atlantic (defeat the submarine).

- (1) Troop transport.
 - (2) Reduced emphasis on battleships (Admiral Sims).
 - (3) Antisubmarine warfare (ASW) craft: Destroyers (also used for escort duty).
 - (4) Submarine chasers.
 - (5) Merchant ships (to replace those lost).
 - (6) Mine laying.
- b. Escort of merchant convoys is adopted: Admiral William S. Sims is the American most responsible for adoption and execution of this ASW strategy.
- (1) He cooperates fully with Britain's Royal Navy.
 - (2) He puts his destroyers under British operational command, a historic precedent.

C. Effect of World War I on Mahanian theory.

- 1. Support in two areas.
 - a. Commercial antagonism/rivalry causes war.
 - b. Faith in the battle fleet for command of the sea.
- 2. Mahanian theory was strongly contradicted by near victory of Germany's unrestricted submarine warfare, a modern form of commerce raiding (*guerre de course*), and by the demonstrated need for convoys and robust ASW. These implications were ignored in the interwar period (1919-39), and they had to be learned again in the Atlantic campaign of World War II.

**NAVAL RESERVE OFFICERS TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

LESSON GUIDE: 10

HOURS: 1

TITLE: U.S. Naval Strategy and National Policy, 1919-1941

I. Learning Objectives:

- A. The student will comprehend the principal points of controversy among the great powers at Versailles and the main shortcomings of the treaty finally produced.
- B. The student will know (list) the reasons for the United States not joining the League of Nations and the reasons for the League's ultimate failure to keep the peace.
- C. The student will comprehend the treaties resulting from the Washington Naval Conference and subsequent changes in naval technology and strategy.
- D. The student will comprehend the relationship between international affairs and national defense goals in the context of sea power.
- E. The student will comprehend (explain) the ways in which changes in American society affected foreign policy and the development and employment of the U.S. Navy during this period.

II. References and Texts:

A. Instructor references:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 12.
- 2. *The American Way of War*, Chapters 11 and 12.
- 3. *One Hundred Years of Sea Power*, Chapters 6 and 7.
- 4. *This People's Navy*, Chapters 9 and 10.
- 5. *Historical Atlas of the U.S. Navy*, pp. 132-5.
- 6. *American Naval History*.
- 7. *Quarterdeck & Bridge*: William A. Moffett.

B. Student texts:

1. *In Peace and War, 30th Anniversary ed.*, Chapter 12.

III. Instructional Aids:

- A. Official NROTC Sea Power lectures and documents.
- B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures.

- A. Method options.
 1. Lecture/Discussion.
 2. Incorporate slides with lecture.
- B. Procedural and student activity options: Reading assignment.

V. Presentation:

- A. The Armistice: Treaty of Versailles.
 1. Great Britain attempts to make U.S. a second-rate naval power; President Woodrow Wilson resists.
 2. Wilson's Fourteen Points.
 - a. League of Nations.
 - b. Republican U.S. Senate rejects – Fear of leading the U.S. into foreign entanglements; weakens Democrat President Wilson's chances in 1920 election.
- B. Review of what the major powers were doing at the end of World War I and why.
 1. The British Navy.
 - a. Expanding their fleet to maintain their naval predominance in the face of the challenge from the U.S. Navy.
 - b. Did not want a naval construction race with the U.S. Navy.
 - c. Desired the destruction of the German High Seas Fleet.
 - d. Opposed President Wilson's principle of freedom of the seas.

- e. Britain tried to deter the U.S. from adopting a large building program.
 - 2. The Japanese Navy.
 - a. Seized German possessions to facilitate expansion into China.
 - b. Japan was engaged in a major building program designed to give Japan naval dominance in the Western Pacific to protect this expansion.
 - 3. U.S. Navy.
 - a. The U.S. Navy was engaged in a major building program. At the end of the war, the U.S. Navy wanted to shift emphasis back to capital ship construction for political purposes (League of Nations, “Open Door” in China, etc.).
 - b. The American people sought a “return to normalcy” and did not support the concept of developing a navy second to none. (Stress the relation between foreign policy and naval policy.).
- C. The Washington Naval Conference of 1921-22.
 (NOTE: The Washington Naval Conference can be compared to more recent arms limitation agreements, e.g., Nuclear Test Ban Treaty, SALT, START, INF)
- 1. Convening the conference
 - a. Secretary of State Charles Evans Hughes sought a comprehensive solution to problems in the Pacific and an end to the naval arms race.
 - b. Hughes disliked Anglo-Japanese Alliance of 1902 (potential threat to U.S.).
 - 2. The Conference.
 - a. Hughes opened with a dramatic proposal to actually de-arm, beginning immediately with a ten-year holiday on construction of capital ships (battleships and battle cruisers).
 - b. The scrapping of ships under construction would appease Congress, which was determined to cut the military after World War I. Hughes proposed elimination of sixty-six ships (1,878,043 tons).
 - 3. The resulting treaties.
 - a. Five-Power Treaty.
 - (1) U.S., Britain, Japan, France, Italy.

- (2) Capital ship tonnage ratio of 5-5-3-1.7-1.7 (i.e., 500,000 tons, etc.).
 - (3) Carriers limited to 27,000 tons, 8-inch guns, classed as “experimental.”
 - (4) Battleships limited to 35,000 tons, 15-inch guns.
 - (5) No limit to cruisers, destroyers, submarines.
 - b. Four-Power Treaty.
 - (1) U.S., Britain, Japan, France.
 - (2) Terminated the Anglo-Japanese Alliance of 1902.
 - (3) Non-fortification of Pacific possessions.
 - (4) Mutual consultation in crisis.
 - c. Nine-Power Treaty.
 - (1) U.S., Britain, Japan, France, Italy, China, Belgium, the Netherlands, Portugal.
 - (2) Guaranteed “Open Door” in China.
4. Balance sheet on treaties.
- a. Negative: Force to ensure “Open Door” in China; Japanese angered by this verbal limit to their expansion, smaller classes of ships not included.
 - b. Positive: Naval limitations realistically accepted congressional budgetary austerity; U.S. Navy able to develop technologically.
5. Impact of Washington Naval Conference on U.S. Navy.
- a. Battleship the backbone of fleet and strategy – Mahanian.
 - b. Aircraft carrier classed as “experimental” and tied to fleet with some significant exceptions in tactical innovation in 1930s (attacks on Panama, Pearl Harbor).
 - c. Submarine made scout for fleet; “unrestricted submarine warfare” outlawed but would be revived by U.S. Navy in World War II.
 - d. Conversion from coal to oil.

- e. Development of modern radio communication.
- f. Development of new electrical power systems.
- g. Use of aluminum and plastic to reduce weight.

D. The Geneva Conference of 1927.

- 1. U.S. hoped to extend 5-5-3 ratio to smaller ships.
- 2. Britain, France and Japan resisted.
- 3. No agreement.

E. The London Conference of 1930.

- 1. Inspired by President Herbert Hoover, an isolationist, economy-minded Quaker, and a Labor government in Britain.
- 2. U.S., Britain, Japan, France, Italy.
- 3. Results.
 - a. U.S.-British parity in all types of vessels.
 - b. Increased Japanese ratio in capital ships, destroyers, submarines.
 - c. France and Italy did not concur.

F. Japanese occupation of Manchuria (1931).

- 1. U.S. response.
 - a. “Non-recognition” doctrine – No show of force; President Herbert Hoover a pacifist.
 - b. Beginning of Japanese expansion into China that would lead to World War II.

G. Geneva Conference of 1932.

- 1. Complete failure.
- 2. Japan and France resist.

- H. Adolf Hitler appointed Chancellor of Germany in 1933 – Aggression begins within two years. Germany rearms; Italy invades Ethiopia (1935); Germany occupies Rhineland (1936), Czechoslovakia, Austria and finally Poland (invasion of Poland causes the war in September 1939).
- I. Japan renounces Washington Naval Treaties, effective 1936.
- J. Situation by 1936.
 - 1. London Naval Conference of 1936.
 - a. Mild limitations on size of naval craft.
 - b. Italy and Japan did not sign.
 - 2. Britain attempts appeasement, including naval pact permitting Germany to rebuild navy (1935).
 - 3. U.S. remained isolationist, neutral, would not begin major rebuilding of navy until war began in Europe (September 1939).
 - a. Isolation and economy reinforced by Great Depression.
 - b. Neutrality Acts of 1935 and 1937 – To prevent unwanted intervention in European war.
 - c. U.S. Navy's budget cut in 1936 to reduce deficit.
- K. 1937: Full-scale, undeclared war by Japan against China and U.S. response.
 - 1. "Shanghai Incident"
 - 2. USS *Panay*, gunboat on Yangtze River sunk by Japanese air force; apology and cash indemnity by Japan to buy time.
 - 3. U.S. options.
 - a. Military intervention.
 - b. Economic sanctions.
 - c. Combined military and economic moves with Britain.
 - d. Indirect response.
 - 4. U.S. response.

- a. Franklin Delano Roosevelt's "quarantine" speech called for "positive endeavors to preserve peace."
 - (1) Not effective due to lack of popular support.
 - (2) Did not impose Neutrality Act because war was not officially declared and would hurt China more than Japan.
- b. No joint action with Britain because of disagreements.
- c. Indirect response: 1938 Naval Expansion Act; ships to become available in 1940-41. A country cannot exert national influence if it does not have the military strength to back it up.

L. Force levels and deployments of the U.S. fleet in 1937.

- 1. U.S. Navy officers and enlisted: 113,617;
U.S. Marine Corps officers and enlisted: 18,223.
- 2. Battleships (BB): 15
Aircraft carriers (CV): 3
Heavy cruisers (CA): 17
Light cruisers (CL): 10
Destroyers (DD): 196 (162 overage)
Submarines (SS): 81 (50 overage)
- 3. Strategic disposition.
 - a. Pacific Coast: Main U.S. battle fleet at Pearl Harbor.
 - b. Atlantic Coast: Training squadron.
 - c. Asia: Asiatic Fleet two heavy cruisers (CA), thirteen destroyers (DD), six submarines (SS), and ten gunboats.
 - d. Panama: Service squadron, one destroyer (DD), six submarines (SS), and two gunboats.
 - e. Europe: One heavy cruiser (CA), and two destroyers (DD)
- 4. Most probable enemy: Japan (explains strategic disposition)

M. Retreat toward hemispheric defense

1. Lack of strong forward bases: Guam, Wake, Midway, Samoa, and the Philippines had not been fortified for fear of provoking Japan.
 2. The crisis in the Far East was overshadowed by events in Europe.
 - a. The threat from both directions put the U.S. in a defensive frame of mind.
 - b. American people reluctant to become entangled in the deteriorating condition of Europe.
 3. 1939 fleet problem held in Caribbean.
 4. Army-navy conflicts concerning defensive roles and competition for defense money as a result of the shift to hemispheric defense. Leads to increased role of air power to protect approaches to the Americas.
 5. European commitments restrict British cooperation for aggressive Pacific defenses.
 6. U.S. fleet divided between the Atlantic and Pacific Oceans.
 7. Revisions to strategic planning:
 - a. Emphasis shifted from Pacific to Atlantic: "Plan Dog".
 - b. Security of the Caribbean and Panama to have top priority (sacrificing Philippines and Guam).
 - c. Defensive strategy in Pacific in the short-run as opposed to War Plan Orange, which envisioned early offensive. On the other hand, War Plan Orange (1911) went through many mutations, evolving eventually into the Rainbow Plans. In essence, War Plan Orange envisioned a war between the U.S. and Japan in which the U.S. would lose the Philippines at an early stage, would fall back to the Hawaiian Islands, reinforce the battle fleet in the Hawaiian Islands, move west across the Pacific to recapture the Philippines, and eventually threaten the Japanese home islands after defeating the Japanese fleet in detail.
 - d. The Rainbow War Plans
- N. Evaluation of the U.S. Navy's ability to carry out its mission in terms of strategic plans (1939).
1. Enough capital ships for an offensive in the Atlantic and a defensive in the Pacific.
 2. Insufficient number of aircraft carriers.
 3. Barely sufficient cruisers to screen the battle fleet and scouting force.

4. Sufficient number of destroyers for screening combat forces only. Insufficient number of destroyers for convoy and ASW. Many destroyers were overage.
 5. Submarines 40 percent below war strength.
 6. Aircraft.
 - a. Shortage of long-range patrol bombers.
 - b. Lack of modern carrier aircraft.
 7. Landing craft: Woeful inadequacy in number.
 8. Manpower: Enlisted personnel afloat (78 percent of prescribed manning).
 9. Bases – Critical deficiencies.
 - a. Patrol plane bases needed at Oahu, Midway, Johnston, Palmyra, Wake, and Puerto Rico
 - b. Advance fleet bases required in Trinidad, Brazil, West Africa, Guam, Wake Island, and the East Indies
 - c. Facilities already available were not adequately defended
 10. U.S. Marine Corps: One third of desired strength
 11. Conclusion: “Not now fully prepared”
 12. Result: The Navy Expansion Act (May 1938)
- O. Outbreak of War in Europe (September 1939) and effects on U.S.
1. The neutrality patrol: Report and track belligerent forces approaching the U.S.
 2. Britain made base facilities available at Bermuda, Trinidad, and St. Lucia.
 3. The Fourth Neutrality Act (1939) – Shift from Isolationism.
 - a. Arms embargo lifted, but:
 - b. U.S. ships forbidden to enter danger zones, and;
 - c. Belligerents had to pay cash for munitions and pick them up with their ships.

4. The Declaration of Panama: Established a 300-mile neutrality zone around the Americas.
 - a. Compromised by Britain's long-range blockade of Germany and Germany's counter blockade of Allied coast.
 - b. Violated by Battle of River Plate.
 5. New opportunities for Japan.
 - a. Reduced British participation in Far Eastern affairs.
 - b. Reduced threat of Russian intervention.
 - c. Increased vulnerability of French and Dutch possessions.
 - d. Distraction of U.S. interest and forces from the area.
 6. The fall of France and isolation of Britain shocked American isolationists into realizing the vulnerability of the U.S.
 7. Rearmament: Authorization of the two-ocean navy not to be completed until 1946.
 8. All aid to Britain short of war.
 9. Destroyers for bases deal: Fifty overage destroyers in exchange for ninety-nine-year leases on bases in the Bahamas, Jamaica, Newfoundland.
 10. Lend-lease to Britain and Russia.
 11. American occupation of Greenland and Iceland.
 12. American escort of convoy and eventual cooperation with the Royal Navy in hunting down U-Boats, followed by torpedoing of *Greer* and *Kearney* and sinking of *Rueben James*.
- P. Preparations for war in the Pacific.
1. In early 1940, Rainbow II dominated the strategic plans for the Pacific.
 2. Following Fleet Problem XXI, the U.S. fleet was kept at Pearl Harbor as a deterrent to Japan.
 - a. Admiral J. O. Richardson objected to exposure, vulnerability.

- b. President Franklin D. Roosevelt insisted.
- 3. U.S. refused to send naval forces to Singapore.
- 4. Shift in strategy from Rainbow II to “Atlantic First,” in “Plan Dog.”
 - a. A strong offensive in the Atlantic and a defensive in the Pacific.
 - b. Defeat Germany and Italy first, then deal with Japan.
 - c. Support British forces in the East Indies and defend Midway, Johnson, Palmyra, Samoa, and Guam. Defend the Philippines as long as possible, then withdraw to Malay barrier.

Q. Political developments leading to war in the Pacific

- 1. July 26, 1940: Embargo on aviation fuel and high grade scrap
- 2. September 1940: Japan formally joins the Axis
- 3. April 13, 1941: Japan signs a five-year treaty of neutrality with Russia
- 4. June 1941: Japan forced the French to turn over bases in Southern Indochina
- 5. July 26, 1941: U.S. freezes all Japanese assets and cuts off flow of oil
- 6. Decision to fortify and defend the Philippines (top priority)
- 7. October 1941: Hideki Tojo and his war party took control of the Japanese government.
- 8. The British send HMS *Prince of Wales* and HMS *Repulse* to Singapore and agree to replace Singapore with Manila as a combined fleet base in 1942.
- 9. Japan sends special envoy Saburo Karusu to Washington with Japan’s “last proposals.”
- 10. November 26, 1941: Secretary of State Cordell Hull responds to Japan’s proposals by demanding Japan’s withdrawal from both China and Indochina; ensure the integrity of the Chinese Nationalist government and enter a non-aggression pact with the U.S.
- 11. December 6, 1941: President Roosevelt personally appeals to Emperor Hirohito to withdraw from Indochina; Japan’s reply was received at 7:55am on December 7, 1941 at Pearl Harbor.

**NAVAL RESERVE OFFICERS TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

LESSON GUIDE: 11

HOURS: 2

TITLE: World War II: The U.S. Navy in North Africa, the Mediterranean, and the Atlantic, 1941-1945

I. Learning Objectives

- A. The student will comprehend the internal political situation in the United States during the period before December 7, 1941 relative to American involvement in overseas problems.
- B. The student will know (recall) that Germany was the greatest threat to European and North American security.
- C. The student will know (identify) U.S. attempts to remain neutral prior to 1941.
- D. The student will comprehend the absolute priority given to keeping the sea lanes to Britain open.
- E. The student will know the relationship between British Prime Minister Winston Churchill and American President Franklin Roosevelt in the establishment of the United Nations and the broad concepts of Allied strategy.
- F. The student will comprehend (compare and contrast) German U-boat strategy versus Allied convoy Antisubmarine (ASW) strategy in the Atlantic.
- G. The student will know German surface raider effectiveness.
- H. The student will comprehend the differences between British “War of Attrition” versus American plan for a direct confrontation with Germany.
- I. The student will comprehend how Allied amphibious landings assisted in ending the war in Europe.

II. References and Texts:

A. Instructor references:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 13.
- 2. *One Hundred Years of Sea Power*, Chapter 8, pp. 222-37.

3. *This People's Navy*, pp. 287-304.
4. *Historical Atlas of the U.S. Navy*, pp.156-60.
5. *American Naval History*.
6. *Quarterdeck & Bridge*: Ernest King.

B. Student texts:

1. *In Peace and War, 30th Anniversary ed.*, Chapter 13.

III. Instructional Aids:

- A. Official NROTC Sea Power lectures and documents.
- B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures:

- A. Method options.
 1. Lecture/discussion.
 2. Show video segments.
 3. Incorporate slides with lecture.
- B. Procedural and student activity options: Reading assignment.

V. Presentation:

- A. September 1939, Germany invades Poland. England and France declare war on Germany.
 1. 1939-40 inconclusive on Western Front.
 2. Britain moves to blockade Germany.
 3. Germany begins commerce raiding at sea with U-boats and surface raiders: Scuttling of *Graf Spee* after Battle of River Plate.
- B. April 1940, Germany invades Norway.
 1. Action designed to keep Britain from tightening blockade by mining northern approaches.

2. May 1940: Germany launches attack on “low countries” and France. Outflank Maginot line. June 1940, France falls.
 3. Britain withdraws troops from Europe.
- C. Britain adopts convoy strategy at outset.
1. Recognizes importance of maintaining lines of communication with U.S.
 2. German Admiral Karl Doenitz organizes U-boats into wolfpacks to prey on convoys – very effective when based in France.
 3. U-boat sinkings climax in fall of 1940.
 4. Britain acquires more escorts and the ability to break the German Ultra Code.
 5. The U.S. drifts into undeclared war against Germany; attempts to maintain neutrality, 1939-41.
 - a. President Franklin D. Roosevelt (FDR) an internationalist/interventionist.
 - b. Congress (and people) influenced by isolationists and “America first” propaganda.
 - c. Isolationist strength so great that FDR ran on a platform opposing U.S. intervention in 1940; following FDR’s election to unprecedented third term, U.S. passed first peacetime “draft” (i.e., Selective Service Act).
 - d. FDR identifies German victory as threat to U.S. security because it would destroy British sea power, and the Royal Navy was a “shield of the Republic” since about 1890.
 - (1) U.S. Navy “neutrality patrols” help British ASW.
 - (2) “All aid to Britain short of war” includes “destroyer-bases deal” and “Lend-Lease.”
 - e. FDR concedes this is not Wilson’s “neutrality in thought and deed.”
- D. The U.S. officially enters the war in December 1941 following the attack at Pearl Harbor.
1. Germany moves U-boat offensive to attack shipping off the U.S. East Coast.

2. As convoys became more effective, Doenitz moved his U-boats south (“tonnage strategy”).
 3. U-boats also very effective in cutting Allied northern supply route to Russia.
 4. Doenitz shifts U-boats back in North Atlantic in 1942. U.S. counteracts with escort carriers and High Frequency/Direction Finding (HF/DF) locations of wolfpacks.
 5. Doenitz forced into Central Atlantic as allies strengthened convoys and developed ASW tactics. “Hunter Killer Groups” (HUKs) eventually ran out of U-boats as allies improved coverage and sank more U-boats.
- E. Germany used surface raiders with moderate success. No large surface battles in Atlantic, as German surface fleet had a hard time breaking out into the Atlantic.
- F. Competing Allied strategies in Europe
1. British preferred a peripheral strategy. War of Attrition: North Africa, Egypt, Sicily, Italy etc.
 2. U.S. preferred direct attack on Germany through western France.
 3. U.S. initially acquiesces to British peripheral strategy for the following reasons:
 - a. Allowed them to pursue war in the Pacific.
 - b. Drew German resources off of the Western Front, effectively weakening it enough for the eventual cross channel invasion.
 - c. Allies checked German advances in Egypt; stalemated on Russian front; attacked Italy beginning in July 1943.
 4. Sequence for pursuing peripheral strategy in the Mediterranean
 - a. British General Bernard Montgomery against German General Erwin Rommel in North Africa: Securing the Suez lifeline.
 - b. Landing in North Africa (Operation Torch): Casablanca, Oran, Algeria.
 - c. Invading Italy: Sicily, Salerno, and Anzio.
 5. Allies spend the next year building up in England for cross channel invasion.
 6. Normandy invasion (June 1944) and southern France (August 1944) succeed in pushing Germany back into its own borders.

7. Spring 1945 is the end of the war in Europe.

G. Chronology of significant events – Atlantic:

1. September 1, 1939: Germany attacks Poland.
2. September 17, 1939: U-29 sinks carrier HMS *Courageous*; U-47 sinks HMS *Royal Oak*.
3. December 13, 1939: Battle of the River Plate.
4. April 9, 1940: Invasion of Norway Battle of Narvik – Despite annihilation of German naval forces, they maintained control of Narvik.
5. June 11, 1940: Italy enters the war.
6. July 3, 1940: British destroy the French fleet at Mers-El-Kebir.
7. September 23, 1940: Battle of Dakar.
8. October 15, 1940: Italy invades Greece.
9. November 11, 1940: Royal Navy aircraft carrier raid on Taranto (model for Pearl Harbor?).
10. March 28, 1941: Battle of Cape Matapan.
11. May 20, 1941: Invasion of Crete
12. May 22-26, 1941: Chase of the German Battleship *Bismarck*.
May 24: *Bismarck* sinks HMS *Hood*.
May 26: *Bismarck* sunk.
13. November 11, 1941: U-81 sinks HMS *Ark Royal*.
14. November 23, 1941: U-331 sinks HMS *Barham*.
15. March 27, 1942: St. Nazaire (France) raid (Operation Chariot).
16. August 19, 1942: Dieppe (France) raid (Operation Jubilee).
17. November 8, 1942: Northern Africa (Operation Torch).
18. January 14, 1943: Casablanca Conference.

a. President Franklin D. Roosevelt and Prime Minister Winston S. Churchill.

- b. Decision to invade Sicily; unconditional surrender proclaimed as war goal.
- 19. July 10, 1943: Invasion of Sicily.
- 20. September 9, 1943: Invasion of Italy at Salerno.
- 21. November 1943: Teheran Conference.
 - a. FDR, Churchill, Premier Joseph Stalin.
 - b. Decision to invade France in 1944, opening a “second front” against Nazis in west.
- 22. December 24, 1943: German warship *Scharnhorst* sunk.
- 23. January 21, 1944: Landing at Anzio.
- 24. June 6, 1944: Normandy invasion, “D-Day.”
- 25. August 15, 1944: Invasion of southern France.
- 26. November 12, 1944: German battleship *Tirpitz* sunk by Royal Air Force (RAF).
- H. Lessons of the Atlantic, Mediterranean and European War.
 - 1. The students should appreciate the complexities of strategy-making in a war where the three major allies (the United States, Great Britain and Soviet Russia) had many fundamentally different and even opposing goals.

It is especially important to grasp the fact that the surface harmony of Anglo-American cooperation hid many substantial differences in how to defeat the Axis powers and what should be the nature of the post-war world, including the relative military and naval might of the two countries.
 - 2. The students should grapple with the fact that the announced policy and strategy of President Franklin Roosevelt was to defeat Germany prior to taking the offensive against Japan, but in fact the United States took the offensive against Japan as early as August 1942.
 - a. The question of U.S. Navy-U.S. Army rivalry must be considered in explaining and understanding this phenomenon.

- b. The personalities of the top uniformed strategists (General George Marshall, Admiral Ernest King, Admiral Chester Nimitz, and General Douglas MacArthur) must also be factored into this equation.
- 3. The students should fully grasp the differences between the British peripheral strategy, focusing on the Mediterranean and its littorals, and the American desire for an early cross-Channel landing in northern Europe. This study should include assessing the reasons for the 1942 landings in North Africa.
- 4. The students should comprehend that the Atlantic and Mediterranean wars were not Mahanian wars of battle fleets contending for command of the seas, and they should assess the reasons that this was the case, despite the pre-war planning on the Axis and Allied sides for capital ship engagements.
- 5. The students should fully appreciate both the conventional and the technological revolutionary aspects of the Allied ASW campaign in the Atlantic. This study should lead the students to fully reappraise the possibility of having made a cross-channel invasion in 1942, as General Marshall wished.
- 6. As a result of the above examinations, the students should grapple with the question of the effects of inter-service rivalry on the conduct of World War II, and they also should gain an appreciation of the extent to which interservice cooperation (“jointness” in current terminology) prevailed and facilitated the achievement of victory.

**NAVAL RESERVE OFFICERS TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

LESSON GUIDE: 12

HOURS: 2

TITLE: World War II: The U.S. Navy in the Pacific, 1941-1945

I. Learning Objectives:

- A. The student will comprehend the political and economic forces that led Japan to strike at Pearl Harbor and the colonial possessions of the U.S., Britain, and the Netherlands and the relationship of these forces to Japan's ultimate defeat.
- B. The student will comprehend the Japanese strategy for an early victory and their concept of the postwar Pacific power balance.
- C. The student will comprehend the impact of the Japanese attack at Pearl Harbor and the subsequent Battles of Coral Sea and Midway on the transformation of the aircraft carrier's role in naval warfare.
- D. The student will know (list) the significant highlights of the evolution of U.S. operational strategy in the Pacific, including major battles or campaigns and instances where strategy was flawed or ambiguous.
- E. The student will know the strategic significance of the employment and refinement of amphibious landing tactics by the U.S. Navy and U.S. Marine Corps.
- F. The student will comprehend the reasons the geopolitical world order was changed as a result of Japan's actions in striking at the Western powers in 1941.

II. References and Texts:

A. Instructor references:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 13.
- 2. *American Way of War*, Chapter 13.
- 3. *One Hundred Years of Sea Power*, Chapter 9.
- 4. *This People's Navy*, Chapter 11.
- 5. *Historical Atlas of the U.S. Navy*, pp. 137-44.

6. *American Naval History*.

7. *Quarterdeck & Bridge*: Chester Nimitz.

B. Student texts:

1. *In Peace and War, 30th Anniversary ed.*, Chapter 13.

III. Instructional Aids:

A. Official NROTC Sea Power lectures and documents.

B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures:

A. Method options.

1. Lecture/Discussion.

2. Incorporate slides with lecture.

3. Show video segments.

B. Procedural and student activity options: Reading assignment.

V. Presentation:

A. Background.

1. Remote origins: Spanish-American War (1898), Russo-Japanese War (1904-05), Washington Naval Conference (1921-22).

2. Japanese-American relations tense: Japan challenged America's "Open Door" policy by attacking Manchuria in 1931.

3. In 1937, Japanese expansion in China resulted in attack on the American gunboat USS *Panay*, by Japanese aircraft.

4. July 1941: President Roosevelt adopted economic sanctions leading to an oil embargo of Japan by Americans, British and Dutch.

5. The Japanese struck for the oil-rich Netherlands, East Indies (Indonesia), Singapore, and the surrounding British-owned Malaya, Thailand, the Philippines, and Hong Kong.
6. The Japanese camouflaged their plans with diplomatic negotiations in Washington. The United States expected an assault somewhere in the Pacific because cryptanalysts, in a technique called “Magic,” had broken the Japanese diplomatic code.
7. The attack on Pearl Harbor surprised the Americans, who had not anticipated a strike so far east, or one mounted solely by carrier-born aircraft.

B. Pearl Harbor.

1. Japan’s plans.
 - a. Southern drive into Indochina and Dutch East Indies for oil.
 - b. Strike at Philippines and Singapore to knock out local American and British forces.
 - c. Attack on Pearl Harbor conceived by Admiral Yamamoto.
 - (1) Risk great – U.S. would surely enter war.
 - (2) Potential gain greater – U.S. Pacific Fleet would be knocked out of the war; Japan would then consolidate gains throughout China, Southeast Asia (French Indochina, Malaya, Burma, Thailand, the Dutch East Indies, Philippines, and the Gilberts and Marianas ceded to Japan at end of World War I). With the U.S. fleet devastated, Japan’s maritime fortress would be impregnable. The U.S. would sue for peace and two mighty but equal empires – one Japanese, one American – would face each other across the Pacific.
 - (3) The balance of war in Europe then favored the Axis (Germany and Italy) who by the Tripartite Treaty were obligated to fight with Japan if she became engaged in war with the U.S.
2. The attack.
 - a. The six newest and largest Japanese aircraft carriers at core of striking force.
 - b. Sortie from Kurile Islands, Japan and rendezvous on December 7, 1941, 200 miles north of Pearl Harbor.
 - c. Launched 183 aircraft at 6:00am; strike at 7:55am.

- d. 90 percent of the damage inflicted by 8:25am.
- 3. The result.
 - a. No clear warning from Washington; “Magic” intercepts did not identify Pearl Harbor as the target. Communications between Washington and Commander in Chief, Pacific Fleet were not rapid.
 - b. U.S. Pacific Fleet battleships were in berths at Pearl for weekend liberty.
 - c. Two Pacific Fleet carriers, USS *Lexington* and USS *Enterprise*, were delivering aircraft to Midway and Wake Islands.
 - d. Battleship fleet was effectively destroyed; carriers, by surviving, unexpectedly became capital ships.
 - (1) Result not anticipated by American naval planners before Pearl Harbor, but it would totally change the methods of naval battle for the rest of the twentieth century.
 - (2) U.S. galvanized to declare war; Hitler ordered war on the U.S.
- C. From Pearl Harbor to Midway.
 - 1. The British and American high command (Prime Minister Churchill, President Roosevelt, General George Marshall) were determined to fight and win first in Europe, while holding Japan at bay. A full-scale Allied effort in the Pacific would come after the defeat of Germany. But continued Japanese aggression, popular American outrage at Japan, and Admiral Ernest King’s desire for an early navy war meant the war in the Pacific could not be put on hold.
 - 2. Continued Japanese attacks.
 - a. Malay Peninsula attacked.
 - b. December 10, 1941: Battlecruiser HMS *Repulse* and Battleship HMS *Prince of Wales* sunk off Malay Peninsula.
 - c. December 11, 1941: Defense of Wake Island, 1st Marine Defense Battalion under Major James Devereux repel the first Japanese invasion force. Marine 3-inch and 5-inch guns sink the Japanese destroyer *Hayate*, first Japanese surface ship sunk during the war. Moments later a Marine F4F *Wildcat* sinks the destroyer *Kisaragi*. A second, larger invasion force, supported by two Japanese fleet carriers, captures Wake Island on December 21.

- d. Thailand, Philippines, and Borneo invaded.
 - e. Hong Kong, Guam, and Wake Island captured.
 - f. Further attacks could come in the Southwest Pacific, against New Guinea and Australia, in the Central Pacific, against Midway, and in the North Pacific, against the Aleutian Islands.
3. American defensive organization and plans.
- a. Admiral Chester W. Nimitz in Central Pacific.
 - b. General Douglas MacArthur in Southwest Pacific, although fleet elements in this zone remained under Nimitz's administrative control.
 - c. Controversial command structure; no common superior; ran two separate wars in the Pacific.
 - d. Only possible due to overwhelming industrial and logistical superiority.
4. Southwest Pacific: May 4-8, 1942, Battle of the Coral Sea.
- a. Purely carrier engagement – first in history.
 - b. The Japanese were the tactical victors in terms of tonnage destroyed.
 - c. The Americans were the strategic victors because they turned back the Japanese advance into New Guinea and Australia.
5. Central Pacific: June 3-6, 1942, Battle of Midway.
- a. Japan's objectives.
 - (1) Carrier raid backed by entire Japanese combined fleet.
 - (2) Lure out and destroy U.S. carrier force.
 - (3) But Yamamoto split his fleet – Two carriers and an invasion force were diverted to attack the Aleutians.
 - b. American disposition: Disadvantage, advantage.
 - (1) Only three aircraft carriers, eight cruisers, fourteen destroyers.
 - (2) Midway could act as an “unsinkable” carrier.

- (3) Successful U.S. interception and decoding of Japanese naval operational communications: Virtually complete information regarding Yamamoto's fleet, tactical disposition, and avenue of approach.

c. The battle.

- (1) All aircraft versus ships.
- (2) Japanese aircraft technologically superior; battle initially went against Americans.
- (3) Pilots from USS *Enterprise* and USS *Yorktown* luckily caught Japanese carriers with aircraft aboard refueling and rearming in preparation for attacks on U.S. aircraft carriers.
- (4) U.S. dive bombers hit Japanese aircraft carriers, exposed ordnance exploded, and three Japanese carriers went down quickly, a fourth was hit and later sunk.
- (5) Japanese fleet was surprised by Americans.

d. Significance of Midway: Ended Japanese advance; turning point of Pacific War.

D. Prelude to Guadalcanal.

- 1. Japanese Imperial headquarters shocked by defeat at Midway.
 - a. Cancel plans to take Fiji, Samoa, New Caledonia.
 - b. Must proceed with plan to take Port Moresby as it is within bomber distance to major Southwest Pacific Imperial naval operating base at Rabaul, New Britain.
 - c. Japanese begin building airfield at Guadalcanal.
- 2. Americans move to reinforce South Pacific area, protect vital sea line of communication with Australia.
 - a. Vice Admiral Robert L. Ghormley appointed Commander South Pacific Force and Area, subordinate to Nimitz.
 - b. Two bases established in New Hebrides.

3. MacArthur proposes taking command of two aircraft carriers and 1st Marine Division, adding these to three army divisions already under his command and then retaking Rabaul, forcing Japanese 700 miles north to Truk. King stridently objects. Proposes step-by-step plan through Solomons to take Rabaul. Wants Nimitz and Ghormley in charge with Marines making amphibious assault and the navy providing support.
4. Power struggle ends in compromise.
 - a. Nimitz to coordinate attack as far as Santa Cruz Islands.
 - b. Command to switch to MacArthur once a base near Tulagi is secured.
 - c. MacArthur to attack Rabaul by two-pronged effort. Southern element to go north through Solomons. Western element to go east through the Papuan Peninsula of New Guinea. Converge on Rabaul.
 - d. Operation Watchtower (Guadalcanal) set for August 1, 1942.
 - e. Guadalcanal substituted for Santa Cruz Islands when U.S. intelligence learns of Japanese plans to build airfield there.
 - f. Few resources available for Operation Watchtower.
- E. Guadalcanal campaign (August 1942-February 1943).
 1. Initial landing virtually unopposed; U.S. Marines take and complete Henderson Field.
 2. First major amphibious campaign of war; Americans begin the offensive.
 3. Lessons to be learned in coordinating major offensive with U.S. Army, U.S. Navy, and U.S. Marine Corps elements.
 4. Neither side can afford defeat; both suffer heavy losses. U.S. loses more tonnage at sea, including all carriers lost or damaged at one point. Japan loses more lives.
 5. Japan allowed to dominate at sea at night (Tokyo Express). The U.S. dominates daylight activities with shore and carrier-based air cover.
 6. U.S. eventually wins as political decision is made that President Roosevelt cannot afford another defeat at hands of Japanese with elections coming up.
 7. Battle drags on from August 1942 to February 1943.

8. MacArthur meanwhile successful in driving Japanese from Papuan Peninsula. By February 1943, both roads to Rabaul are open and Japanese plans for further offensives in South and Southwest Pacific are stopped cold.
 9. King uses this development at Casablanca conference to get Combined Chiefs of Staff (CCS) approval of his plan to allocate more resources to the Pacific (at expense of “Europe First” plan).
- F. Reconquest of Attu and Kiska, Aleutian Islands (January to May 1943).
1. No real threat to security, but needed to eradicate Japanese control of American territory for political reasons.
 2. One of the last classic surface ship battles takes place as Americans attack heavily guarded convoy.
 3. Minimal resistance on Attu; none on Kiska, although Americans expect much and plan accordingly.
- G. Central Solomon Islands campaign (begun June 1943).
1. Coordinated amphibious attacks toward Rabaul through Central Solomons.
 2. Yamamoto strips his carriers of aircraft to reinforce Rabaul and stop Americans.
 3. Yamamoto is killed by a P-38 attack when American intelligence learns of his travel plans. Successor proves ineffective and loses many airplanes without stopping American 3rd or 7th Fleets.
 4. Quantum advances in amphibious tactical doctrine over Guadalcanal.
 5. Halsey institutes bypassing strategy – avoiding or cutting off heavily reinforced Japanese areas and pressing on to next objective. Results in many lives saved.
 6. U.S. naval ships become proficient in radar use; combat information center (CIC) established; learn to control seas at night.
- H. Bougainville (November 1943).
1. Bypassed southern portion of island where Japanese entrenched and landed U.S. Marines halfway up west coast.
 2. Japanese respond as predicted; sent cruiser force to attack transports; beat by Americans.

3. Japanese try to reinforce southern part of island with Tokyo Express, but Americans thwart their efforts.

I. Neutralization at Rabaul.

1. August 1943: King gets permission from CCS at Quebec conference to bypass Rabaul (Japan's most heavily armed southern stronghold). Instead, it would be neutralized by a "ring of steel" consisting of land and carrier based air attacks.
2. Japanese strip remaining carrier decks to defend but incur heavy losses while inflicting little damage.
3. New American aircraft carriers delivered; prove effective.
4. Admiralties taken, just north of Rabaul. Japanese withdraw all support.
5. Allied counteroffensive never stops again.
6. MacArthur plans to make good his pledge—"I shall return"—of recapturing Philippines (as had been proposed by Orange Plan as early as 1911).

J. Defeat of Japan.

1. Dual advance theory put into effect with Nimitz making an aircraft carrier drive across the Central Pacific and MacArthur and the 3rd Fleet island hopping up from the South Pacific. Objective: Philippines and the penetration of the Japanese inner defense zone.
 - a. Push across Central Pacific accomplished by carrier air cover and U.S. Marine amphibious divisions; able to bypass some strongholds and attack at will.
 - b. Significant campaigns in Central Pacific are the Gilberts, the Marshalls, and the Marianas.
 - c. U.S. attack on Marianas, draws out Japanese fleet, produces Battle of Philippine Sea, June 19-20, 1944 (also known as the "Great Marianas Turkey Shoot").
 - (1) Americans down 346 Japanese planes, piloted by inexperienced pilots.
 - (2) Americans sink three Japanese carriers, but fail to totally annihilate the Japanese fleet, in a classic Mahanian engagement.

- (3) U.S. acquired Saipan and Tinian as bases for B-29 long-range bombers that began to attack the Japanese home islands.
- d. As MacArthur lands in the Philippines, Japanese send out entire fleet in a last-ditch effort to keep their defensive barrier intact. The Battle of Leyte Gulf (October 24-25, 1944) effectively destroys the Japanese fleet.
 - e. Landing and occupation of Okinawa (April-June 1945) gain island crucial to planned invasion of Japan.
 - f. Capture of Iwo Jima (February-March 1945) yields emergency airfield for B-29s and for fighter escorts.
 - g. Allies close in on inner defenses of Japan. Deny them use of Sea of Japan for vital oil and coal supplies. The Allies stage air raids on Japan.
 - h. President Truman decides to use two atomic bombs rather than carry on a prolonged bloody struggle for the Japanese homeland as support for the war effort at home is dwindling (August 6 and 9, 1945).
 - i. As promised at the Yalta Conference in February, Russia enters war against Japan on August 8, 1945, three months after Germany is defeated; takes Manchuria, moves into Japanese-occupied Korea.
 - j. Japan officially surrenders on board USS *Missouri* in Tokyo Bay on September 2, 1945.
2. Simultaneously with the dual advance, U.S. submarines conducted a classic war against commerce.
- a. Especially effective in 1944-45.
 - b. Concentrated on oil supply lines from East Indies (Indonesia).
 - c. Bulk of Japanese merchant marine destroyed by mid-1945.
 - d. U.S. Strategic Bombing Survey concludes Japan would have surrendered without U.S. invasion or atomic bomb if the blockade had been tightened:

Submarines complemented by carrier air strikes against coastal Japanese shipping.

K. Lessons of World War II in the Pacific

1. The students should assess the relative importance of the various facets of sea power used by the United States to win the war in the Pacific: Carrier aviation, surface units, submarines, and amphibious forces.
2. The students should examine the role of strategic bombing in the Pacific in World War II, including fire-bombing and atomic bombing, and compare its efficacy with the European theater of operations.
3. The students should contrast Pacific War strategy with that employed in the Atlantic and Mediterranean and assess why there were such major contrasts.
4. The students should weigh the merits and salient characteristics of the outstanding leaders of the Pacific War: King, Nimitz, Halsey, Spruance, and MacArthur.
5. The students should comprehend the revolution in naval technology and strategy that characterized the war in the Pacific:
 - a. The unanticipated maturation of carrier aviation as an offensive weapon of war. This subject should include gaining an appreciation of the revolutionary logistical systems developed during the war, including forward basing and underway replenishment for the fast carrier task forces.
 - b. The unexpected effectiveness of the American submarines as weapons of interdiction of the industrial base of Japanese war machine.
6. Discuss the long-term geopolitical effects of the Pacific War on the postwar order in Asia.
 - a. Japan was occupied by the U.S. and transformed into a westernized power.
 - b. An Asian nation forcibly overcomes European/American control of hundreds of millions of colonial subject peoples.
 - c. These events accelerate national freedom movements – India, Indonesia – genesis of the “Third World.”
 - d. Have enormous significance in colonial areas around the world in reducing prestige of colonial powers.
 - e. Forced colonial powers to make deals/acknowledge future independence claims in return for native population cooperation.
 - f. U.S. Navy became the unchallenged sea power in the Pacific.

L. Chronology of significant events:

1. December 1941: Japanese attack Pearl Harbor, Philippines, Guam, Wake Island, Midway Island, Kota Bharu, Hong Kong, and Thailand.
2. December 10, 1941: HMS *Prince of Wales* and HMS *Repulse* sunk by Japanese land-based aircraft.
3. December 10-12, 1941: Guam invaded. Japanese land at Aparri, Vigan, and Legaspi in the Philippines.
4. December 11, 1941: Japanese invasion attempt at Wake Island repulsed.
5. December 16, 1941: Japanese land at Brunei, Borneo.
6. December 20, 1941: Japanese land at Jolo and Davao in the southern Philippines.
7. December 21-23, 1941: Japan's second invasion attempt overwhelms defenders on Wake Island. U.S. relief task force aborts mission without firing a shot after failing to arrive in time.
8. December 21, 1941: Main Japanese invasion of Philippines lands at Lingayen Gulf.
9. January 2, 1942: Japanese occupy Manila unopposed.
10. January 11, 1942: Japanese land at Tarakan Island in Borneo and Menado in the Celebes Islands.
11. January 23, 1942: Japanese land at Amboina and Balikpapan; U.S. destroyers counterattack sinking four transports at Balikpapan.
12. January 23, 1942: Japanese land at Rabaul and Kavieng.
13. January 24, 1942: Japanese land at Kendari in the Celebes.
14. February 1, 1942: U.S. aircraft carriers raid the Gilbert and Marshall Islands.
15. February 3, 1942: Japanese air raids on Surabaya from Kendari wipe out effective Allied air resistance and reconnaissance in Dutch East Indies.
16. February 4, 1942: Allied striking force heavily damaged by Japanese air attacks in Madoera Strait.
17. February 14, 1942: Japanese invade Palembang, Sumatra.
18. February 15, 1942: Outnumbered Japanese receive British surrender of Singapore.

19. February 18, 1942: Japanese landing in Bali results in Allied defeat in Battle of Lombok Strait despite Allied superiority.
20. February 19, 1942: Japanese carrier strike on Port Darwin, Australia.
21. February 20, 1942: Japanese land on Timor cutting off fighter reinforcements from Australia.
22. February 27 – March 1, 1942: Battle of Java Sea.
23. March 3, 1942: Japanese sink old carrier USS *Langley*, which had been converted into a seaplane tender.
24. March 8, 1942: Japanese invade New Guinea at Lae and Salamaua.
25. March 10, 1942: U.S. aircraft carrier raid on Japanese invasion forces at Lae and Salamaua.
26. April 5, 1942: Japanese aircraft carrier raid on Colombo, Ceylon, British heavy cruisers HMS *Dorsetshire* and HMS *Cornwall* sunk.
27. April 9, 1942: Japanese aircraft carrier raid on Trincomalee, British carrier HMS *Hermes* sunk.
28. April 18, 1942: Doolittle raid on Tokyo from U.S. aircraft carrier *Hornet*.
29. May 1-8, 1942: Battle of the Coral Sea.
30. June 3, 1942: Japanese aircraft carriers strike the Aleutians.
31. June 4-6, 1942: Battle of Midway. Three Japanese aircraft carriers sunk.
32. August 7, 1942: U.S. Marines land at Guadalcanal and Tulagi.
33. August 9, 1942: Battle of Savo Island.
34. August 20, 1942: First U.S. Marine Corps aircraft arrive at Henderson Field on Guadalcanal..
35. August 24-25, 1942: Battle of the Eastern Solomons.
36. August 31, 1942: U.S. aircraft carrier *Saratoga* torpedoed by Japanese submarine.
37. September 15, 1942: USS *Wasp* (CV 7) torpedoed and sunk by Japanese submarine.

38. October 11, 1942: Battle of Cape Esperance.
39. October 26, 1942: Battle of Santa Cruz.
40. November 12-15, 1942: Naval Battle of Guadalcanal.
41. November 30, 1942: Battle of Tassafaronga.
42. March 26, 1943: Battle of Komandorski Islands.
43. May 7, 1943: U.S. recaptures Attu.
44. June 30, 1943: U.S. captures Rendova Island and Munda on New Georgia.
45. July 6, 1943: Battle of Kula Gulf.
46. July 13, 1943: Battle of Kolombangara.
47. August 6, 1943: Battle of Vella Gulf.
48. August 15, 1943: U.S. forces land on Vella Lavella and Kiska.
49. September 3, 1943: MacArthur lands at Lae on New Guinea.
50. November 1, 1943: U.S. forces land on Empress Augusta Bay, Bougainville.
51. November 2, 1943: Battle of Empress Augusta Bay.
52. November 5, 1943: U.S. aircraft carriers conduct raid on Rabaul.
53. November 20, 1943: U.S. Marines assault Tarawa and Makin.
54. November 25, 1943: Battle of Cape St. George.
55. December 26, 1943: U.S. forces land at Cape Gloucester.
56. January 2, 1944: MacArthur lands at Saidor.
57. January 31, 1944: U.S. forces land at Kwajalein.
58. February 15, 1944: Green Island captured.
59. February 17, 1944: Eniwetok captured. U.S. aircraft carriers conduct raid on Truk.

60. February 29, 1944: Los Negros in the Admiralties captured completing the encirclement of Rabaul.
61. April 22, 1944: MacArthur supported by 5th Fleet lands at Hollandia and Aitape.
62. May 17, 1944: U.S. forces land at Wake Island off New Guinea.
63. May 27, 1944: U.S. forces land at Biak.
64. June 15, 1944: U.S. forces invade Saipan in the Marianas.
65. June 19-21, 1944: First battle of the Philippine Sea.
66. July 21, 1944: U.S. forces land at Guam.
67. July 24, 1944: U.S. forces land at Tinian.
68. September 15, 1944: U.S. forces land at Morotai.
69. September 15, 1944: U.S. forces land at Palau.
70. October 20, 1944: U.S. forces (MacArthur) land at Leyte Gulf.
71. October 23-26, 1944: Battle for Leyte Gulf.
72. February 19, 1945: U.S. forces land on Iwo Jima.
73. April 1, 1945: U.S. forces invade Okinawa.
74. April 7, 1945: Japanese battleship *Yamato* sunk by U.S. carrier planes.
75. August 6, 1945: Atomic bomb dropped on Hiroshima
76. August 8, 1945: Russia declares war on Japan.
77. August 9, 1945: Atomic bomb dropped on Nagasaki.

**NAVAL RESERVE OFFICERS TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

LESSON GUIDE: 13

HOURS: 1

TITLE: The U.S. Navy in the Early Cold War, 1945-1953

I. Learning Objectives:

- A. The student will know (list) the reasons for the post World War II decline of the U.S. Navy.
- B. The student will comprehend the impact of the defense reorganizations in 1947 and 1949 on the role of the U.S. naval service.
- C. The student will know the impact of the balanced force strategy on the role of the U.S. naval service.
- D. The student will know (recall) the factors which provided the impetus for change in national military strategy in 1950.
- E. The student will know the major contributions of the U.S. Navy and U.S. Marine Corps during the Korean War.

II. References and Texts:

A. Instructor references:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 14.
- 2. *American Way of War*, Chapters 15 and 16.
- 3. *This People's Navy*, Chapter 12.
- 4. *Historical Atlas of the U.S. Navy*, pp. 191-8.
- 5. *American Naval History*.
- 6. *Quarterdeck & Bridge*: Arleigh Burke and Hyman Rickover.

B. Student texts:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 14.

III. Instructional Aids:

A. Official NROTC Sea Power lectures and documents.

B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures:

A. Method options.

1. Lecture/Discussion.
2. Incorporate slides with lecture.
3. Show video/video segments.

B. Procedural and student activity options: Reading assignment.

V. Presentation:

A. 1945: End of the war.

1. Compare U.S. position at end of World War II with U.S. position at end of World War I.
 - a. Power position in world.
 - b. Mood of nation.
2. Discuss impact of Atomic-bomb monopoly on perceived threat and implications for weapons development.
3. Control of trust territories.

B. 1945-49: Decline of U.S. Navy.

1. Postwar phenomena in general.
 - a. Demobilization.
 - b. Austerity.
 - c. Instability and search for new roles.
2. 1945-46: Demobilization.

- a. Postwar tasks.
 - (1) Return troops, Prisoners of War (POWs), refugees.
 - (2) Minesweeping.

- b. Reduction in force: U.S. Navy and U.S. Marine Corps

	<u>1945</u>	<u>1950</u>
(1) Personnel: U.S. Navy	3,400,000	375,000
(2) Personnel: U.S. Marine Corps	475,000	75,000
(3) Major combatants	1,200	237
(4) Aircraft	40,000	4,300

- 3. Austerity.
 - a. No new weapons systems except nuclear.
 - b. U.S. Navy makes do with still-new World War II equipment.
- 4. Instability.
 - a. Pacific.
 - (1) U.S. ambivalence toward China.
 - (2) Role of 7th Fleet and Naval Forces Far East.
 - b. Europe.
 - (1) Instability in Turkey, Greece, Italy, and France.
 - (2) Gradual withdrawal of British.
 - (3) Groundwork for U.S. role in Mediterranean.
- 5. U.S. Navy threatened.
 - a. Background.

- (1) Rapidly declining fleet.
 - (2) Wide-ranging operations (Arctic, Pacific, Mediterranean).
 - (3) Defense reorganization.
 - (4) Internal defense struggles.
- b. National Security Act of 1947.
 - (1) Resisted by U.S. Navy.
 - (2) Preserved naval aviation and U.S. Marine Corps.
 - (3) Appeased the U.S. Navy by naming James Forrestal as the first Secretary of Defense.
- c. Containment Strategy: George Kennan's "X Article" in *Foreign Affairs*, July 1947, enunciated the theory of "containment" which would become official U.S. doctrine and policy by 1950.
- d. Internal defense struggles of 1949.
 - (1) National Security Act amended to strengthen Secretary of Defense.
 - (2) Secretary of Defense Louis Johnson cancels construction of the aircraft carrier *United States*.
 - (3) U.S. Marine Corps squadrons cut.
 - (4) U.S. Air Force emerges as dominant service; battle cry is "Strategic Bombing," meaning nuclear bombing.
 - (5) B-36 hearings; U.S. Navy fights; Chief of Naval Operations, Louis E. Denfeld fired for supporting naval aviation in the "Revolt of the Admirals."
 - (6) Balanced forces strategy accepted.

C. 1949-50: Global changes and U.S. reactions.

1. Soviets detonate atomic-bomb in August 1949 – Changes perceived threat; loss of atomic monopoly.

2. Victory of Chinese Communists over Nationalists in October 1949 – Changed global balance of power, apparent triumph of Moscow-backed forces.
 3. President Harry S. Truman orders development of hydrogen bomb, February 1950.
 4. National Security Council Paper 68 (NSC 68), April 1950 – Rapid and sustained buildup of military and nonmilitary strength.
 5. North Korean Communists' Invasion of South Korea, June 25, 1950.
- D. 1950-53: Resurgence of the U.S. Navy.
1. The Korean War itself.
 - a. June 25, 1950: Invasion of South Korea by North Korea.
 - (1) Immediate U.S./U.N. military response ordered by President Harry S. Truman.
 - (2) Five-Star General Douglas MacArthur named U.S./U.N. commander.
 - b. U.S. Navy first on the scene. On July 2, 1950, a little more than a week after the outbreak of war, cruiser USS *Juneau* and two British warships intercept North Korean torpedo boats and motor gunboats off the east coast of South Korea and destroy five of the Communist naval vessels, virtually eliminating the North Korean Navy.
 - c. On July 3, 1950 aircraft from USS *Valley Forge* and the Royal Navy carrier HMS *Triumph* bomb Pyongyang, the capital and war-making heart of North Korea.
 - d. Support.
 - (1) The U.S. Navy's Military Sea Transportation Service rushes emergency reinforcements and supplies to South Korea, enabling the UN forces to hold the peninsula in 1950 and fight this war in Asia for the next three years.
 - (2) Combat support provided by U.S. Navy battleships, cruisers, and destroyers and by carrier and ground-based navy and Marine aircraft saves the lives of many UN soldiers ashore.
 - (3) Navy and Marine F9F *Panther* jets, F4U *Corsairs*, and other combat aircraft destroy enemy railroads, bridges, and supply depots far behind enemy lines.

- (4) U.S., British, Republic of Korea Navies, along with other allied naval forces maintain a tight blockade of North Korean waters throughout the war.
 - (5) Marine Brigadier General E. A. Craig leads 1st Provisional Marine Brigade into Korea at Pusan. This was the first combat force to reach Korea from the continental United States (CONUS), deployed ashore by U.S. Navy transports exactly one month to the day after requested by MacArthur.
- e. Inchon amphibious assault by U.N. naval forces, September 15, 1950
 - (1) Brilliant strategic move by the commander of U.N. and U.S. forces, General Douglas MacArthur. He specifically requests Major General O.P. Smith's 1st Marine Division to lead the assault on Inchon.
 - (2) Admiral Arthur D. Struble's Task Force 7, composed of 230 carriers, cruisers, destroyers, transports, and other naval vessels deploys the 1st Marine Division and the U.S. Army's 7th Infantry Division at Inchon, far behind North Korean lines, forcing the Communists to flee from the Pusan Perimeter.
 - (3) The 1st Marine Division then captures the enemy's Kimpo Airfield and, after days of heavy street fighting, Seoul, the capital of South Korea.
 - f. Chinese intervention and the Marines at the Chosin Reservoir.
 - (1) Soviet-supplied mines sink a number of allied naval vessels and delay the landing by the 7th Fleet of U.S. Marine and Army troops at Wonsan, in North Korea.
 - (2) In the midst of fierce winter weather, seven Chinese divisions surround U.S. Marine and Army troops at Chosin Reservoir. The American units, supported by naval air and gunfire support fight their way to the coast.
 - (a) O.P. Smith: "We're not retreating. We're just attacking in another direction."
 - (b) Chesty Puller: "We have the Chinese right where we want them. They're all around us. Makes it easier for us to get them and kill them."

- (3) In a masterful operation, the navy's Amphibious Task Force (TF 90) withdraws 105,000 troops, 91,000 refugees, and 17,500 military vehicles from Hungnam and Wonsan North Korea and redeploys them to South Korea.
 - (4) Chinese intervention leads to consideration of using nuclear weapons in the war.
 - (5) President Truman refuses to use nuclear weapons, despite pressure from some military leaders, including General MacArthur; Truman recognizes the disadvantages, including the escalation to all-out war beginning with a Soviet attack in Europe.
 - (6) Thereafter, the use of nuclear weapons will be seen by most strategists as impractical in limited wars.
 - (7) In a challenge to civilian control of the military, General MacArthur publicly questions President Truman's decisions on the war. As a result, in April 1951, the commander in chief fires the general.
 - (8) At Panmunjom, on the 38th parallel, a negotiation team initially led by Admiral C. Turner Joy, negotiates a ceasefire with the Chinese and North Korean Communists.
 - (9) The death of Soviet leader Joseph Stalin, enormous casualties and economic losses, and the potential use of nuclear weapons by the Americans. persuade the Communists to sign an armistice in Korea on July 27, 1953.
 - (10) In the Korean War, the U.S. Marine Corps lost 4,267 dead and 23,744 wounded; the U.S. Navy lost 505 dead and 1,576 wounded.
- g. Amphibious withdrawal: Hungnam and Wonsan
 - h. President Harry S. Truman dismisses General MacArthur for challenging strategy of limited war in letter to Speaker of the House of Representatives (April 1951). This becomes a major constitutional crisis over civilian control of the U.S. military.
 - i. Negotiations: Admiral Turner Joy's negotiating experience.
 - j. Armistice only reached after newly elected President Dwight D. Eisenhower using India as an intermediary, threatened use of nuclear weapons.
 - k. Forty-two U.S. Marines were awarded the Congressional Medal of Honor.
 - l. President Truman signs Public Law 416 in 1952, a landmark statute that:

- (1) Defined the U.S. Marine Corps as a separate service within the Department of the Navy;
 - (2) Sized the U.S. Marine Corps at a minimum of three divisions and three air wings;
 - (3) Awarded the U.S. Marine Corps primacy in amphibious warfare.
2. Impact of the Korean War on the U.S. Navy: Beginning of nuclear navy of last half of 20th century.
 - a. Personnel.
 - (1) 1951: Personnel strength doubled.
 - (2) Where they come from:
 - (a) Reserves recalled.
 - (b) Integration.
 - (c) Women.
 - (d) Draft.
 - b. Research and development.
 - (1) Carrier-based nuclear capability.
 - (2) Nuclear submarines: Hyman Rickover.
 - (3) Carrier-based jets.
 - (4) Vertical assault with helicopters.
 - (5) ASW.
 - (6) Surface to Air Missiles (SAMs).
 - c. Procurement.
 - (1) First Supercarriers: USS *Forrestal* and USS *Saratoga*.
 - (2) *Sherman*-class destroyer.

- (3) *Boston*-class guided-missile cruiser.
- (4) USS *Nautilus* (SSN 571) keel laid, 1952 “Underway on nuclear power”; signaled by *Nautilus* on January 17, 1955 – Birth of a nuclear powered navy.

E. Conclusion.

- 1. Navy survived difficult period.
 - a. Reduced force levels.
 - b. Loss of authority in defense reorganization.
- 2. Navy contribution to Cold War strategy.
 - a. Containment.
 - b. Balanced force strategy.
- 3. Navy adapted to overcome limits placed on it:
 - a. Personnel.
 - b. Ships and weapons systems.

**NAVAL RESERVE OFFICERS TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

LESSON GUIDE: 14

HOURS: 1

TITLE: The U.S. Navy in the Strategy of Containment, 1953-1963

I. Learning Objectives:

- A. The student will comprehend the development of new strategies and weapons systems, in terms of the competition for resources within the Department of Defense (DOD) and within the U.S. Navy, during the high Cold War.
- B. “Massive Retaliation,” “Rollback,” and “Liberation” will be defined and their applicability as strategic slogans will be assessed by examination of major crises of the Eisenhower presidency (1953-61).
- C. The student will comprehend how the threat of limited naval presence was used to influence international affairs during the 1950s.
- D. President John F. Kennedy’s “Flexible Response” will be defined and its applicability as a strategic slogan will be assessed by examination of the Bay of Pigs and Cuban Missile Crisis.
- E. The student will know the impact of the Cuban Missile Crisis of 1962 on U.S. naval strategy and national policy.

II. References and Texts:

A. Instructor references:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 15.
- 2. *American Way of War*, Chapters 17 and 18.
- 3. *In Peace and War*, Chapter 16.
- 4. *One Hundred Years of Sea Power*, Chapter 14.
- 5. *This People’s Navy*, Chapter 12.
- 6. *Historical Atlas of the U.S. Navy*, pp. 200-5.
- 7. *American Naval History*.

B. Student texts:

1. *In Peace and War, 30th Anniversary ed.*, Chapter 15.

III. Instructional Aids:

- A. Official NROTC Sea Power lectures and documents.
- B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures:

A. Method options.

1. Lecture/Discussion.
2. Incorporate slides with lecture.
3. Show videos/video segments.

B. Procedural and student activity options: Reading assignment

V. Presentation:

A. NSC 68: Blueprint for Cold War strategy.

1. Review NSC 68.
 - a. Background – perceived threat.
 - b. Korean invasion – perception reinforced.
2. Review impact of NSC 68 and Korea on U.S. Navy.
 - a. Reversed trend and accelerated buildup.
 - b. Reactivation of “mothballed” fleet.
 - c. Korea War demonstrated power-projection capabilities of U.S. Navy.
 - d. Korea disproves U.S. Air Force assertion that strategic bombing would win future wars.
 - e. Development of new generation of ships with strategic clout:
 - (1) Aircraft carriers: *Forrestal*-class supercarrier.

(2) Nuclear submarines: USS *Nautilus*.

(3) Fleet Ballistic Missile Submarines (“Boomers”).

B. Resources for defense.

1. Period of Department of Defense internal struggle to determine size, composition, and mission of the U.S. Navy in future.

2. U.S. Navy seeks nuclear capability and strategic mission to ensure future funding.

a. Navy nuclear delivery systems development.

(1) Attack carrier.

(2) *Polaris* missile-carrying submarine.

(3) *Loon*.

(4) *Regulus*.

(5) *Seamaster*.

b. Navy internal competition for funding kills all but carriers and *Polaris* submarines.

c. Single Integrated Operation Plan (SIOP): JCS gives navy piece of the action (Note: Use to show what JCS does – theme of “jointness.”)

d. Development of small nuclear weapons gives carrier air new tactical nuclear mission in addition to strategic mission.

e. Carrier air withdrawn from SIOP; loses strategic mission to *Polaris*; remains core of conventional offensive strategy.

3. ASW development.

a. Soviet submarine threat.

b. Hunter Killer Group (HUK).

(1) Fixed-wing support carrier (CVS).

(2) Destroyers (5-6).

- (3) Aircraft (S2, EA1E, SH-34).
 - c. Nuclear-powered attack submarine (SSN): Albacore hull.
 - d. Sound Surveillance System (SOSUS) for ASW.
- 4. Shipbuilding dilemma.
 - a. Retirement of World War II ships.
 - b. Quality versus quantity.
- C. Naval diplomacy in the Cold War.
 - 1. Deployment policy reflects foreign policy.
 - a. U.S. perceives its interests to be worldwide;
 - b. Therefore, the U.S. Navy deployed worldwide to influence international affairs through “presence and threat of either limited or unlimited naval force.”
 - 2. Examples: Pacific.
 - a. 1954: Indochina.
 - (1) Presence: Three aircraft carriers available, but not used to support Dien Bien Phu.
 - (2) Evacuation: Amphibious and Military Sea Transportation Service (MSTS) ships used to evacuate French and convey many Vietnamese from North to South (Operation Passage to Freedom).
 - (3) September; Southeast Asia Treaty Organization (SEATO) established.
 - b. September 1954: 7th Fleet helps protect Quemoy and Matsu.
 - c. 1956: Suez Canal, Hungarian uprising – major crises.
 - d. 1957: “Sputnik” suborbital satellite launching shakes U.S. confidence.
 - e. July 1958: Beirut/Lebanon landing: 6,000 U.S. Marines, in an Expeditionary Brigade, go ashore unopposed to deter a Syrian invasion.
 - f. August 1958: Quemoy and Matsu.

- (1) Presence: 7th Fleet discourages any invasion.
 - (2) Sealift resupply: Coercive threat of naval air attack on mainland used to intimidate Chinese to permit resupply.
- g. December 1959: First fleet ballistic-missile submarine commissioned, USS *George Washington*.
- h. July 1960: First Polaris missile launch – USS *George Washington*; November 1960: first Polaris patrol – USS *George Washington*.
- i. April 1961: Bay of Pigs – inadequate air and naval cover resulted in disaster; President John F. Kennedy became cautious about intervening militarily.
- j. November 1961: First nuclear-powered carrier commissioned, USS *Enterprise* (CVAN 65).
- k. January 1962: Creation of U.S. Navy Sea Air and Land (SEAL) teams – Kennedy’s “Flexible Response,” 2.5 wars and special operations.
- l. October 1962: Cuban Missile Crisis – U.S. Navy provided carrier strike forces and Amphibious Task Force (ATF) of eighty-five ships and 11,000 Marines to force removal of missiles from Cuba.

D. Cuban Missile Crisis.

1. Background.
 - a. April 1961: Bay of Pigs fiasco – U.S. loss of face.
 - b. Summer 1961: Vienna Conference between Kennedy and Soviet leader Nikita Khrushchev and erection of Berlin Wall – further loss of face.
 - c. October 1962: Soviets place Intermediate Range Ballistic Missiles (IRBMs) in Cuba – U.S. vulnerable to surprise nuclear attack.
 - d. “Ex Comm” versus Joint Chiefs: quarantine or attack? Extremely serious strategic debate (Note: The movie “Thirteen Days” depicts it very well.)
2. Quarantine: Actually a blockade.
 - a. October 22, 1962: U.S. fleet directed to block further shipments of offensive military equipment to Cuba – demand made for removal of existing missiles from Cuba.

- b. October 24, 1962: Soviet ships reverse course – only one Soviet merchant ship was actually boarded.
- c. November 7, 1962: U.S. Navy inspects ship exiting from Cuba.
- 3. Force buildup during the crisis.
 - a. Direct involvement of ninety-plus ships.
 - b. Cruisers, destroyers and older carriers were most directly involved.
 - c. Newer nuclear-powered carriers provided reserve backup.
 - d. Worldwide strategic alert put into effect (including 6th and 7th Fleets).
- 4. Evaluation/lessons learned from Cuban Missile Crisis.
 - a. “Conventional engagement” – primarily involving small ships.
 - b. No attack carriers directly involved; but global U.S. alert including carriers world-wide.
 - c. Soviets had no symmetrical, opposing Soviet surface forces.
 - d. No fleet action; no hostilities.
 - e. Soviet Premier Nikita Khrushchev and U.S. Attorney General Robert Kennedy played crucial roles in resolving the crisis.
- E. Lessons learned from Cold War naval strategy and national diplomacy.
 - 1. Impact of overwhelming naval force, even when facing challenge from another superpower’s navy (Soviet Union).
 - 2. Great effectiveness of the aircraft carrier in showing the flag and threatening force in order to help resolve international disturbances without escalation to war, especially when backed by a U.S. Marine Corps amphibious force.
 - 3. Ineffectiveness of submarine in projecting power during “peacetime,” despite its great utility as deterrent to nuclear or major conventional war (SSBNs) and for intelligence-gathering (SSNs).

4. Soviet naval policy: Need to change to a more balanced navy of surface, subsurface, and airborne forces.

**NAVAL RESERVE OFFICERS TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

LESSON GUIDE: 15

HOURS: 1

TITLE: The U.S. Navy, Vietnam and Limited War, 1964-1975

I. Learning Objectives:

- A. The student will know the role of the U.S. Navy in the Vietnam War (1964-75).
- B. The student will comprehend the impact of the Vietnam War on the U.S. Navy's force structure under Admiral Elmo Zumwalt during the Richard Nixon administration.
- C. The student will know (recall) the reasons for the relative decline in U.S. naval preeminence from 1962-77.
- D. The student will comprehend (compare and contrast) the differing naval policies of the U.S. and the Soviet Union and how those differences affected their resulting force structure.

II. References and Texts:

A. Instructor references:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 16.
- 2. *American Way of War*, Chapter 18.
- 3. *One Hundred Years of Sea Power*, Chapter 15.
- 4. *This People's Navy*, pp. 362-80.
- 5. *Historical Atlas of the U.S. Navy*, pp. 206-15.
- 6. *American Naval History*.
- 7. *Quarterdeck & Bridge*: Elmo R. Zumwalt, Jr.

B. Student texts:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 16

III. Instructional Aids:

- A. Official NROTC Sea Power lectures and documents.
- B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures:

- A. Method options.
 - 1. Lecture/Discussion.
 - 2. Incorporate slides with lecture.
 - 3. Show videos/video segments.
- B. Procedural and student activity options: Reading assignment.

V. Presentation:

- A. Background (1950s-1964).
 - 1. French imperialism in Indochina posed dilemma for U.S. policymakers.
 - a. U.S. did not want to be seen as supporting colonialism.
 - b. U.S. opposed spread of communism, associated always with the U.S.S.R. and China – centerpiece of the Cold War.
 - c. Despite U.S. material support, French lost gamble at Dien Bien Phu; subsequently, Vietnam was split at 17th parallel; Cambodia and Laos became independent.
 - 2. U.S. provided support and gradual buildup of military and Central Intelligence Agency (CIA) advisors to South Vietnam (1954-63) to oppose continuing communist actions.
- B. Early U.S. involvement (August 1964 - February 1968).
 - 1. August 2, 1964: Tonkin Gulf Incident. Communist boats attack USS *Maddox*, conducting patrols off North Vietnam. On the night of August 4, 1964 American leaders misleadingly assert to the U.S. public that North Vietnamese naval forces have attacked both *Maddox* and USS *Turner Joy*.
 - a. August 5, 1964: First naval air retaliatory strikes against North Vietnam from carriers USS *Constellation* and USS *Ticonderoga*.

- b. August 7, 1964: Congress immediately passed the “Tonkin Gulf (Southeast Asia) Resolution” – a blank check for President Lyndon B. Johnson and his policy of escalating military intervention.
 - c. Air raids soon stopped because of presidential election and Johnson’s desire to stand as a peace candidate.
2. 1965: Escalation of the air war – U.S. Navy and U.S. Air Force.
- a. February 1965.
 - (1) Viet Cong raid on American barracks at Pleiku followed by retaliatory carrier raids against military barracks in North Vietnam.
 - (2) Beginning of trends: Sustained carrier strikes, high cost/high tech systems (carrier aircraft) against low cost/high tech (SAMs) and low cost/low tech (small arms) weapons resulting in increasing losses of American aircraft and crews.
 - b. March 1965: Operation Rolling Thunder begins; sustained bombing of military targets in North Vietnam by U.S. Navy and U.S. Air Force.
 - (1) Theory: punish North Vietnam until it stops supporting Viet Cong insurgents in South.
 - (2) Reality: lasted intermittently until October 31, 1968.
 - (a) Interrupted by seven bombing halts, which the North used to rebuild.
 - (b) 304,000 fighter bombers and 2,380 B-52 sorties over North.
 - (c) 643,000 tons of bombs (more than the 537,000 tons dropped in entire Pacific War, 1941-45).
 - (d) 922 aircraft lost to enemy.
 - (e) The liability of POWs in the “Hanoi Hilton” [significance of Sen. John McCain].
 - (3) Evaluation: “Rolling Thunder must go down in the history of aerial warfare as the most ambitious, wasteful, and ineffective campaign ever mounted. While damage was done to many targets in the North, no lasting objective was achieved. Hanoi emerged as the winner of Rolling

Thunder.” (CIA analyst quoted by COL Harry Summers, USA, *Historical Atlas of the Vietnam War*, p. 96).

- c. April 1965: “Yankee Station” in Gulf of Tonkin established as permanent point of launching daily carrier strikes against North Vietnam; 55,000 naval combat sorties launched in 1965.
 - d. Overall conclusions about naval aviation in Vietnam.
 - (1) Costs were high: 421 aircraft were lost from 1965-68, and 130 were lost from 1969-71.
 - (2) Results were uncertain at best – only slowed supply flow from North to South Vietnam; never forced North Vietnam to sue for peace.
 - (3) POW suffering and strategic liability of the prisoners being held by North Vietnam.
 - e. May 1965: Naval shore bombardment begins against South Vietnam as supplement to air strikes; in support of military operations along the coast; first since Korean War. Beginning in September 1968, shelling included bombardment by 16-inch guns of battleship USS *New Jersey* (BB 62), which was recommissioned in April.
3. The Coastal Patrol Force: Operation Market Time (March 1965 – December 1972).
- a. Coastal interdiction of supplies being moved from North Vietnam to South Vietnam by innumerable small boats, junks, etc.
 - b. Improvised force:
 - (1) U.S. Navy: Eighty-four 50-foot, aluminum-hulled fast patrol craft (PCF) armed with three .50-caliber machine guns and 81-mm mortar.
 - (2) U.S. Navy: destroyers, destroyer escorts, and coastal minesweepers.
 - (3) U.S. Coast Guard cutters.
 - c. Tedious and frustrating duty because of difficulty of distinguishing harmless South Vietnamese trading and fishing junks from smugglers using the same kind of vessels.
 - (1) Not unlike the Union’s blockade during the Civil War

- (2) Evaluation as outstandingly effective: “From January to July 1967, Market Time forces . . . inspected or boarded more than 700,000 vessels in South Vietnamese waters. Except for five enemy ships [sighted during Tet] . . . no other enemy trawlers were spotted from July 1967 to August 1969.” (COL Harry Summers, USA, *Historical Atlas of the Vietnam War*, p. 150).
 - (3) Cautious evaluation: “There are no statistics to show what MARKET TIME did not interdict. At the very least, MARKET TIME forced the enemy to be even more inventive and creative in bringing into the South the tools of war.” (Symonds, *Historical Atlas*, p. 210).
 - (4) Certain evaluation: Forced North Vietnam to expand and rely more heavily on the overland Ho Chi Minh Trail running south through Laos and Cambodia.
4. The Mobile Riverine Force of the “Brown Water Navy” Operation Game Warden (December 1965 – September 1968).
 - a. Deny use of Mekong River and tributaries as a means of water transportation for Viet Cong and North Vietnamese.
 - b. Specially designed and improvised small craft:
 - (1) Fifty-foot, aluminum-hulled fast patrol craft (PCFs) armed with three .50-caliber machine guns and 81-mm mortar.
 - (2) Thirty-one-foot, fiberglass-hulled, river patrol boat (PBR), with diesel-powered water jets yielding a speed of twenty-five knots in less than one foot of water.
 - (3) Monitors, armored troop carriers (ATCs), and armored support patrol boats.
 - c. Mostly mundane and highly dangerous work.
 - (1) Less effective and more costly than coastal interdiction effort.
 - (2) Turned over to South Vietnamese Navy when President Nixon began “Vietnamization” in February 1969.
5. Naval command structure – April 1966: creation of the command U.S. Naval Forces, Vietnam to control U.S. naval forces in South Vietnam and certain coastal units.

C. Tet and its Impact (January 30, 1968 – January 20, 1969).

1. Tet Offensive: Turning point in the war (January – February 1968).

a. Some generalizations.

(1) Conceived by North Vietnam's General Vo Nguyen Giap, architect of Dien Bien Phu (1954 defeat of France).

(2) Combined attack by North Vietnamese and Vietcong.

(a) Goal: popular uprising (failed completely).

(b) Achieve a Dien Bien Phu-like tactical battlefield victory for propaganda purposes.

(3) Scope.

(a) Struck at thirty-six of forty-four provincial capitals and military bases, most notably the city of Hue and base at Khe Sanh.

(b) 100 other villages.

b. Immediate results.

(1) Vietcong forces assaulted and entered U.S. Embassy in Saigon.

(a) General William C. Westmoreland, Commanding General, Military Assistance Command, Vietnam (MACV), declared victory in Saigon by January 30th at 9:15am.

(b) U.S. reporter: Saigon was a "butcher shop in Eden."

(2) After initial shock of the widespread attacks, U.S. and South Vietnamese Army (ARVN) fought back and repelled all regular North Vietnamese Army (NVA) forces.

(3) U.S. and South Vietnamese Army forces fought back: "Forced to fight in the cities, they bombed, shelled, and strafed the most populous districts as if they saw no distinction between them and the jungle."

c. Short-Term results.

- (1) No popular uprising – disappointment to North Vietnam and to Giap, but, dismay in the United States; evening TV news the reason. CBS anchor Walter Cronkite loses confidence in his country's war and so does the nation. President Johnson: "If I've lost Walter Cronkite, I've lost middle America."
- (2) March 31, 1968: President Lyndon Johnson renounces candidacy for reelection.
- (3) Secretary of Defense Robert McNamara forced to resign.
- (4) General Westmoreland replaced by General Creighton Abrams as U.S. overall commander in Vietnam (MACV).
- (5) September 1968: Vice Admiral Elmo R. Zumwalt, Jr. appointed Commander, U.S. Naval Forces, Vietnam. Immediately merged Game Warden and Mobile Riverine Force into SEALORDS ("South East Asia Lake, Ocean, River, Delta Strategy") to vigorously prosecute attacks against enemy in Mekong Delta.
- (6) November 1968: Richard M. Nixon elected president. Claimed he "had a plan" to end the war (i.e., "Vietnamization"); inaugurated January 20, 1969.

D. President Nixon's "Vietnamization" (1969-73).

1. It meant turning the war over to the South Vietnamese and withdrawing American forces as rapidly as possible; the complication was the North's refusal to repatriate American POW's.
2. U.S. forces reduced from over 500,000 combat and combat-support personnel to a handful of advisors.
3. Admiral Zumwalt supervised withdrawal of naval forces.
4. January 1973: Hanoi signed Paris Accords calling for cease-fire throughout South Vietnam and release of all American prisoners of war. Persuaded to do so by:
 - a. Nixon's brilliant diplomatic opening to China and arms limitation summit with Moscow.
 - b. Paris diplomacy of Secretary of State Henry Kissinger and North Vietnamese delegation.

- c. Very heavy bombing of North Vietnam by B-52s and U.S. Navy aircraft: Operations Linebacker I and Linebacker II.
 - (1) Linebacker I (ended October 22) – 40,000 sorties; 125,000 tons of bombs.
 - (2) Linebacker II (December 18-26, 1972) – 742 B-52, 640 fighter-bomber sorties; fifteen B-52s lost!!!
 - d. Mining of North Vietnam's ports by aircraft from carriers on Yankee Station eliminates enemy's resupply by sea.
 - e. POWs returned and U.S. forces withdrawn by April 1973.
5. Negative evaluations of Vietnamization.
- a. "Vastly different from last two years of Korea: U.S. was now withdrawing before indigenous forces were built-up and able to stand on their own."
-- Colonel Harry Summers
 - b. 1969; Marine regimental commander to Marine Lieutenant Colonel Bernard Trainor, "We're no longer here to win, we're merely 'campaigning,' so keep the casualties down."
-- from retired Marine Lieutenant General Bernard Trainor, author of *General's War* on Gulf War.
 - c. "Vietnamization offered a way to get the United States, the Republicans, Richard Nixon, and most important, [Secretary of Defense] Melvin Laird, out of the Vietnam quagmire. Whether it would work or not was secondary. It was an exit."
-- Army Lieutenant General Philip Davidson
 - d. Vietnamization was "the model or paradigm of a new strategy of retreat."
-- Norman Podhoretz, editor of *Commentary*.
6. Positive evaluation of Vietnamization.
- a. 1972: "The fighting wasn't over, but the war was won . . . There came a later point at which the war was no longer won."

-- Lewis Sorley, author of *Thunderbolt: General Creighton Abrams and the Army of His Times*.
(This was an oblique way of criticizing the Congress for not sufficiently funding South Vietnam from 1973-75.)

- b. Vietnamization worked in defeating “Easter Offensive” of 1972, mainly because of U.S. airpower.
- E. Watching South Vietnam go under (1973-75).
- 1. Congress adamantly rejected any further military intervention in Southeast Asia and refused to appropriate the full \$1 billion in military aid promised South Vietnam by the Nixon administration.
 - 2. April 30, 1975: North Vietnamese forces overran South Vietnam; South Vietnam’s president proclaimed unconditional surrender; U.S. Embassy in Saigon evacuated, the final few Americans leaving by helicopter from the embassy’s roof.
 - 3. In Operations Eagle Pull and Frequent Wind, over thirty ships of the U.S. 7th Fleet mounted a massive evacuation of Americans and foreign nationals from Phnom Penh and Saigon.
- F. The postwar problems of the U.S. Navy.
- 1. Impact of Vietnam.
 - a. Hiatus in shipbuilding program – conceal the real cost of the war because President Johnson wanted both the war and “The Great Society” of massive social reforms.
 - b. Results: Inadequate funding, antimilitary sentiment.
 - c. High personnel costs: Draft ended (1973); all-volunteer force begun.
 - 2. Aging World War II fleet (block obsolescence).
 - 3. Skyrocketing procurement costs.
 - a. Bigger ships.
 - b. More sophisticated ships and weapons systems.
 - c. Push for nuclear-powered ships: Admiral Rickover’s dominance over ship development/procurement policy.
- G. Shaping the U.S. Navy following Vietnam: Admiral Zumwalt’s navy
- 1. Admiral Elmo R. Zumwalt, Jr., became the youngest CNO in history in July 1970 (49 years old). He was promoted to the position over several more senior officers, which created a great deal of ill-will in the upper echelons of the U.S. Navy.

2. The “Ligh-Low” Mix.
 - a. Zumwalt considered that the U.S. Navy had two missions:
 - (1) Sea control.
 - (2) Power projection.
 - b. Believed the fleet should be structured to support those missions.
 - (1) High end: Aircraft carriers and other expensive combatants.
 - (2) Low end: Inexpensive platforms for missile defense, escort duty, aircraft support.
 - (3) The “Sea Control Ship” (a small-budget, low-priced carrier) and the *Oliver Hazard Perry*-class frigates (FFG-7) were representative of the low end. The Sea Control Ship was never built and the FFG-7 became the only legacy of the concept.
 3. Other issues of the Zumwalt period.
 - a. Equal opportunities for minorities.
 - b. Admiral Hyman G. Rickover’s inordinate power in the navy and the government generally: a problem he could not solve.
 - c. Differences with the Nixon administration.
 - (1) Kissinger and Zumwalt disagreed on strategy.
 - (2) USS *Constellation* “mutiny” and racial issues in U.S. Navy.
 - (3) Zumwalt’s criticism of the terms of SALT II.
- H. Comparison between U.S. and Soviet Navies during the period.
1. Categories of differences.
 - a. Number of major ships.
 - b. Number of ships by type.
 - c. Tonnage by type fleets.
 - d. Operational ship days out of area.

2. Reasons for differences: Differing naval policies and priorities.
 - a. Geography.
 - (1) U.S. – a maritime power.
 - (2) Soviets – a continental power.
 - b. Internal defense priorities.
 - (1) U.S. Navy versus U.S. Army and U.S. Air Force.
 - (2) Soviet Navy versus army/air force/rocket forces.
 - c. Perceived threats.
 - (1) U.S. has peaceful and stable borders.
 - (2) The Soviets have historically had unfriendly or unstable borders and have been repeatedly invaded.
 - d. Naval background.
 - (1) The U.S. was an “old navy” which had emerged from World War II with overwhelming naval mastery built primarily on aircraft carriers.
 - (2) Soviets operated a “new navy,” avoiding expensive and dated strategies and weapons systems (just as the U.S. did in the late 1800s).
 - e. Economic approach to shipbuilding.
 - (1) U.S. ships: Few in number with high technology and minimal personnel.
 - (2) Soviet ships: Numerous but austere, with improving technology.
 - f. Navies configured for different wars.
 - (1) U.S. configured for long war in remote locations.
 - (2) Soviets configured for short war near their own borders/coasts.
- I. The Vietnam conflict changed not only the U.S. Navy, but has had a lasting impact on every use of the U.S. military since that time.

1. The cost to the American people was dramatic; 58,000 Americans died; witnessed on television in everyone's living room, every night, the first media war.
2. Vietnam's civil war became America's civil convulsion. The assassination of President Kennedy (November 1963) immediately followed the assassination of President Diem. The Tet Offensive in 1968 was followed by the march on Washington in 1969. President Nixon's secret incursion into Cambodia was followed by the student shootings at Kent State in 1970. Watergate evolved to some degree out of President Nixon's fear of his harshest critics, who were also the most vocal opponents of the Vietnam conflict.
3. Questions for class discussion: "Did the Domino Theory" apply to the subsequent fall of Laos and Cambodia? True or False? Did Vietnam prove to be a validation of the doctrine of "Containment"? (This question can be addressed in the lesson on the end of the Cold War.) Did Kennedy's "flexible response" strategy force the U.S. into Vietnam?
4. Did the U.S. hold out long enough to ensure Communism's eventual collapse without having the conflict escalate into a world conflict? The U.S. was never willing to pay the costs for a total military victory, if one could have been won, for fear of the intervention of the Soviet Union or as in Korea, China's intervention. President Nixon's opening to China in the early 1970s allowed the U.S. to play the two communist superpowers against one another and, therefore, escalate U.S. attacks into North Vietnam. These 1972 escalations included the Christmas bombing of Hanoi, the mining of Haiphong harbor, and the bombing of sanctuaries in Laos and Cambodia. Many commentators say these escalations brought the North Vietnamese back to the peace table and ultimately to sign the 1973 Paris peace accords.
5. Every use of U.S. military force since that time has been tempered by the fear of becoming embroiled in "another Vietnam." The 1973 War Powers Act was the direct result of congressional action to forestall future Vietnams. Debates around the use of force centered on the need for a clear military objective and the need for a defined withdrawal point (i.e., an "exit strategy"). In the early 1980s, Secretary of Defense Caspar Weinberger enunciated these desiderata as part of his "Weinberger Doctrine" governing the future use of U.S. military force.
6. Other evidence of the post-Vietnam War shift away from the doctrines of limited war that had typified the Cold War era includes COL Harry Summers' highly influential book *On Strategy* and the "Powell Doctrine," named after former Chairman of the Joint Chiefs of Staff General Colin Powell

**NAVAL RESERVE OFFICER TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

LESSON GUIDE: 16

HOURS: 1

TITLE: The Era of Retrenchment: Presidents Ford and Carter, 1974-1980

I. Learning Objectives:

- A. The student will understand the U.S. Navy under President Gerald Ford and the political and economic factors that contributed to the viewpoint of President Jimmy Carter regarding the U.S. Navy's role in military strategy and foreign relations.
- B. The student will know the evolution of strategic thinking and the defense policy during the Carter administration and the internal political factors that influenced these policies.
- C. The student will comprehend the policy goals that preceded the President Ronald Reagan defense buildup and the internal political situation that enabled it.

II. References and Texts:

A. Instructor references:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 16.
- 2. *One Hundred Years of Sea Power*, pp. 402-17.
- 3. *This People's Navy*, Chapter 13.
- 4. *American Naval History*.

B. Student texts:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 16.

III. Instructional Aids:

- A. Official NROTC Sea Power lectures and documents.
- B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures:

- A. Method options:
 - 1. Lecture/Discussion.
 - 2. Incorporate slides with lecture.
 - 3. Show video/video segments.
 - B. Procedural and student activity options: Reading assignment.
- V. Presentation:
- A. The U.S. Navy under President Gerald Ford (1974-76).
 - 1. July 1, 1974: Admiral James Holloway III became Chief of Naval Operations.
 - a. Agreed with Zumwalt's vision of a dual navy: Sea Control and Power Projection; however, mostly concentrated on power projection..
 - (1) SLEP – Service Life Extension Program. Overhauling aging oil-driven carriers.
 - (2) Proposal for four *Nimitz*-class aircraft carriers.
 - (3) Aegis defense cruisers to defend the high valued carriers from anti-surface missiles.
 - b. Operation Frequent Wind – 7th Fleet carriers evacuated almost 9,000 from Saigon.
 - 2. *Mayaguez* Incident – The largest deployment under President Ford after Vietnam. Military action taken to return forty crewmen from an American commercial vessel, the *Mayaguez*.
 - 3. Extreme economic inflation creates problems for the navy's projected force. Inflation is between 15 and 20 percent, making new technology seem outrageously expensive.

<ul style="list-style-type: none"> a. <u>Pre-Vietnam</u> <i>Forrestal</i> = \$350 million F-4 Phantom = \$3 million Destroyer = \$50 million 	<ul style="list-style-type: none"> <u>Post-Vietnam</u> <i>Nimitz</i> = \$2 billion F-14 Tomcat = \$23 million <i>Spruance</i> = \$350 million
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 - b. By 1975, the U.S. Navy's 200th anniversary, the navy had less than 500 ships.

- B. The decline of the U.S. Navy in the administration of President Jimmy Carter (1977-81).
1. Background.
 - a. President Carter inherited a congressional and popular antimilitary attitude that made it very difficult to win large naval appropriations from Congress, even had he intended to do so.
 - b. He also inherited a reduced U.S. Navy composed of older ships, the result of deferring ship building during the Vietnam War.
 2. President Carter and diplomacy: President Carter believed that containment could be achieved through diplomacy (arms treaties). Did not see Soviets as a world threat; instead, a European threat and that could be contained by an army and an air force. Proponent of a “one ocean” navy.
 - a. October 3, 1972; SALT I expires. Both nations agree to enter negotiations for second treaty.
 - b. June 18, 1979; SALT II is signed. Big exclusions of new technology including Soviet Backfire bomber with 5,500 nautical mile range.
 3. The Carter naval policy.
 - a. The President did not support naval expansion, and he allowed Congress to delete funds for the fourth *Nimitz*-class carrier (1977).
 - b. His five-year building programs were extremely austere, and Congress finally added \$3 billion to President Carter’s naval request for fiscal year 1981.
 - c. He de-emphasized the “presence” mission of the U.S. Navy. No need for “control of the seas.”
 - d. He limited the conceptual basis for the U.S. Navy’s size to plans for SLOC protection and support of the major U.S. commitments to Europe.
 - e. The Iranian crisis (1978-81) forced President Carter to send warships to the Arabian Sea and Indian Ocean, and in 1980, his administration created the Rapid Deployment Joint Task Force (RDJTF), out of existing assets leading to extremely long at-sea periods.

- f. In 1979, Anti-American Ayatollah Khomeini comes to power in Iran and destabilizes region for the U.S. Since 1953, U.S.-friendly Iranian government imports in excess of \$10.5 million of arms.
- g. The failed attempt to rescue the hostages in Iran (April 1980) involved U.S. Navy helicopters and the USS *Nimitz*, but the problems stemmed from the creation of an *ad hoc* force that had no integrated experience.
- h. December 1979: Soviet invasion of Afghanistan.
 - (1) U.S. supports anti-Soviet resistance fighters with high-tech equipment.
 - (2) Conflict lasts ten years: Soviets withdraw, leaving Afghanistan in hands of “war lords” and ultimately the anti-U.S. Taliban – a disaster for the 1990s and 2000s.

C. Consequences of the Ford and Carter years.

- 1. Carter policy of Soviets being European continental threat only badly damaged the U.S. Navy’s ability to handle crisis in Middle East.
 - a. American Embassy in Tehran.
 - b. Stability in Middle East: Shah overthrown and Soviet invasion of Afghanistan.
 - c. Iran-Iraq War (1980-88).
- 2. President Reagan easily elected in 1980; largely a consequence of a perceived inability of President Carter to deal with the Hostage Crisis in Iran and the expanding Soviet threat. The country was ready to hear about America re-emerging as a powerful world leader with a strong military.

**NAVAL RESERVE OFFICER TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

LESSON GUIDE: 17

HOURS: 2

TITLE: The U.S. Navy from the Maritime Strategy to “9/11,” 1981-2001

I. Learning Objectives:

- A. The student will comprehend the policy goals of the Reagan defense buildup and the internal political situation that permitted it. This includes the Goldwater-Nichols Act (1986) and its effect on the navy.
- B. The student will comprehend the trends of public commitment during the period from 1980 to 1989 relative to the support for defense budgets, force deployments, and administration policies.
- C. The student will know the essential elements of the “Maritime Strategy” (1986).
- D. The student will know (list) possible causes of the Iraqi invasion of Kuwait in 1990 and the U.S. reactions to it.
- E. The student will know Iraqi military capabilities prior to the invasion.
- F. The student will know the elements of the coalition force for Desert Shield and Desert Storm (1990-91).
- G. The student will comprehend the roles of the U.S. Navy and U.S. Marine Corps in Desert Shield and in the air, maritime and ground operations of Desert Storm.
- H. The student will comprehend the national strategic implications of the end of the Cold War and its effects on the U.S. Navy.
- I. The student will comprehend the role of the U.S. Navy in regional conflicts, including post-Gulf War Iraq, Yugoslavia, Somalia, and Afghanistan.
- J. The student will begin to comprehend the nature of joint operations in the post-Cold War era.
- K. The student will comprehend the changes in naval policy and technology of the 1990s and will know how to evaluate their relevance to the post-9/11 navy.

II. References and Texts:

A. Instructor references:

1. *In Peace and War, 30th Anniversary ed.*, Chapter 17.
2. *One Hundred Years of Sea Power*, Chapter 17 and Conclusion.
3. *This People's Navy*, Chapter 13.
4. *Historical Atlas of the U.S. Navy*, pp. 217-30.
5. *American Naval History*.

B. Student texts:

1. *In Peace and War, 30th Anniversary ed.*, Chapter 17.

III. Instructional Aids:

- A. Official NROTC Sea Power lectures and documents.
- B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures.

A. Method options:

1. Lecture/Discussion.
2. Incorporate slides with lecture.
3. Show video/video segments.

B. Procedural and student activity options: Reading assignment

V. Presentation:

- A. The Reagan defense buildup and naval expansion under Secretary of the Navy John F. Lehman, Jr. (1981-87).
 1. The “firing” of Admiral Hyman G. Rickover.
 - a. Lehman determined to end the Rickover (nuclear community) domination of the U.S. Navy.

- b. John F. Lehman, Jr., a reserve naval aviator, viewed the navy as being dominated by engineers who stifled fresh conceptual thought and strategic planning.
 - c. Rickover was finally pushed aside in January 1982; however, opposition to Lehman by many of the navy's senior admirals lasted well past this date.
2. Revamping U.S. naval strategy.
- a. Lehman established and chaired the Navy Policy Board, with goal of 600-ship navy established as Republican Party policy platform "plank."
 - b. The "Maritime Strategy."
 - (1) Product of the Policy Board.
 - (2) Main tenet: 600-ship navy with carrier battle groups as centerpiece.
 - (3) Offensive in outlook: Designed to press home attacks against Soviet naval forces and homeland bases.
 - (4) Forward-deployed forces, principally carrier battle groups, were key to the strategy.
 - c. Criticisms of the "Maritime Strategy."
 - (1) Could be very costly in terms of carrier and aircraft losses.
 - (2) Difficult to keep SLOCs open with bulk of fleet concentrated for the forward offensive battle.
 - (3) Potentially provocative in destabilizing nuclear balance; thereby, triggering nuclear exchange.
 - d. Interventionism-Peacekeeping and responses to terrorism gave Lehman an opportunity to test and refine the naval doctrine.
 - (1) Peacekeeping in Lebanon.
 - (2) Beirut bombing.
 - (3) Grenada.
 - (4) Hijacking of TWA flight 847.
 - (5) *Achille Lauro* hijacking.

(6) Gulf of Sidra attack by U.S. Navy and U.S. Air Force.

(7) Raid on Libya – Operation Eldorado Canyon.

(8) Tanker war.

(9) Operation Praying Mantis.

e. Strategic reorientation.

(1) Nature: In reaction to defeat in Vietnam and its debilitating aftermath, the Reagan administration proclaimed that henceforth the United States would only fight when its national interests were clearly at stake, and it would apply overwhelming force rather than commit a limited force in increments.

(2) Three documents showing this new strategic resolve:

(a) Weinberger Doctrine – Secretary of Defense Caspar Weinberger: Be reluctant to employ military force, but then use only overwhelming force.

(b) Powell Doctrine – Chairman, JCS, General Colin Powell, U.S. Army: Same thrust as Weinberger Doctrine.

(c) Goldwater-Nichols Defense Reorganization Act, 1986 – Elevated the Chairman of the JCS to principal military strategist for the nation.

(3) This strategic reorientation was complemented by a new found respect for the doctrines of the nineteenth century Prussian military theorist Carl von Clausewitz, an exponent of massed armies and “culminating points of victory” and the author of the classic, *On War*. His work became the mainstay of American war colleges in this era.

B. The immediate post-Lehman navy (1987-91).

1. Lehman’s legacy: the U.S. Navy continued to be dominated by the carrier aviation and nuclear submarine communities.
2. U.S. Navy had to face the following question: What was the proper size and composition of the surface fleet in an era of shrinking appropriations and changing geopolitical realities?
3. Desert Shield/Desert Storm (1990-91) gave a temporary respite to congressional fund-slashing and short-term relief to the pressure of that question.

C. Desert Shield/Desert Storm (The first Gulf War), 1990-91.

1. Background (possible causes of the invasion).

- a. Kuwaiti Island dispute: Warbah and Bubiyan waterway provide only access to Gulf for Iraq.
- b. Continued border disputes.
- c. Ar-Rumaylah oil field: Kuwait accused of extracting oil from this field that straddles the Kuwait/Iraq border.
- d. Large war debt (Iran-Iraq war, 1980-88): Saudi Arabia and Kuwait the largest creditors.

2. Iraqi military capabilities, 1990

- a. Consists of Republican Guard, army, navy, air and air defense forces, and popular army.
 - (1) Republican Guard Forces Command (RGFC): Most capable and loyal force; best training and equipment; tasked with regime protection.
 - (2) Regular army: Mostly infantry, vintage equipment.
 - (3) Popular army: Ba'ath Party militia (same as Saddam Hussein); mission restricted to rear area security.
 - (4) Navy:
 - (a) Osa patrol boats.
 - (b) Auxiliaries offensive Silkworm (surface-to-surface missile, 100 km).
 - (5) Air forces: Largest in the Middle East with modern French and Soviet combat aircraft.
- b. Fourth largest army in world; over one million regular troops. Largest ground forces in the Persian Gulf at time of invasion – 5,000 main battle tanks (twice the combined amount of France and Britain), 5,000 armored infantry vehicles, 3,000 pieces of 100-mm artillery.
- c. Scud missiles (estimated total of 400); up to 750-km range. Could reach Israel, Turkey, Syria, Saudi Arabia, Iran and Jordan. Inaccurate, greatest use as a terror weapon. Biological and chemical weapon capable.

3. The invasion of Kuwait.
 - a. Troops massed at the Kuwait border in late July. The U.S. did not expect an invasion, and the U.S. ambassador received a promise from Hussein of no attack.
 - b. August 2, 1990
 - (1) Three Iraqi RGFC divisions attack across frontier.
 - (2) Special operations force assaults Kuwait City.
 - (3) Amphibious assaults against Emir's palace and key facilities.
 - (4) Emir escaped and a large portion of Kuwaiti funds were electronically transferred out of the country; therefore, the "exiled" government had funds to operate.
 - (5) By the evening of August 2nd Kuwait City secured by Iraqi troops.
 - c. August 3: Iraqi troops in position near Kuwaiti-Saudi border.
 - d. U.S. military reaction: August 2, 1990 one hour following the invasion, a carrier battlegroup in the Indian Ocean ordered to Gulf of Oman. Mediterranean carrier battlegroup ordered to eastern Mediterranean in preparation for entering Red Sea. Carrier battlegroups later positioned in Persian Gulf and Red Sea.
 - e. The Secretary of Defense meetings with Saudi Arabia resulted in agreement that U.S. would provide forces to defend Saudi Arabia and would leave the Kingdom when the job was done. Diplomatic negotiations began to enlist worldwide condemnation and organization of the coalition.
 - f. Overall concern/fear: Iraq would continue aggression and take over all of the Saudi Peninsula; thereby, controlling 40 percent of the oil resources in the world.
 - g. U.N. reaction: Condemned the invasion and demanded withdrawal. On August 6, 1990, trade and financial embargoes were imposed.
4. The U.S. and allied coalition.
 - a. Nearly fifty countries made a contribution.
 - b. Thirty-eight countries deployed air, sea, or ground forces.

- c. Coalition members, other than U.S., provided \$54 billion of the estimated \$61 billion costs. About two-thirds of this was from the Gulf States; about one-third from Japan and Germany (both countries' constitutions prohibited direct military involvement).
- d. The United States, United Kingdom, France, and Canada sent naval support the first week.
- e. Italy, Spain, Germany, Bahrain, Saudi Arabia and Turkey provided bases.
- f. Poland, Czechoslovakia, Hungary, Romania, and Bulgaria committed noncombatant military units and humanitarian assistance.
- g. Gulf Cooperation Council (Saudi Arabia, Bahrain, Qatar, the UAE, Oman, and Kuwait) provided access to bases and logistic assistance.
- h. Despite traditional Islamic political and religious ties, Egypt regarded attack as a breach of faith and provided troops and acted as a center for Kuwaiti exiles. Also allowed passage of allied naval units through the Suez Canal. Syria and Morocco also deployed troops to Saudi Arabia.
- i. Jordan and Iran: Officially neutral; did not adhere to economic sanctions; smuggled across borders. Jordan's actions resulted in a coalition naval unit trade embargo of the Red Sea port of Aqaba.
- j. Supporters of Iraq: Yemen and Sudan.
- k. Israel: Maintained low profile response per U.S. request and intense political negotiations. Did not respond to Scud attacks due to the U.S. promise that much of the coalition effort would be aimed at defending against these attacks. Defense of Israel included the U.S. placing of defensive missile batteries (Patriot). The key to keeping Jordan from entering the war and maintaining continued coalition support was preventing an Israeli retaliatory attack of Iraq, despite attempts at escalation by Hussein.

5. Iraqi occupation.

- a. Republican Guard units eventually withdrawn to border; replaced by popular army and regular army units.
- b. Atrocities included torture, rape, looting, executions, etc. Most of the provisions of the Geneva Convention concerning Protection of War Victims (civilians) and Prisoners of War were violated by Iraq.

- c. Westerners in Kuwait and Iraq were taken as hostages and used as human shields against attack (ultimately freed in December).
 - d. Iraq conducted environmental terrorism by releasing millions of gallons of oil into the Persian Gulf and setting fire to Kuwaiti oil fields.
- 6. Operation Desert Shield (Defense of Saudi Arabia); Commenced August 7, 1990.
 - a. U.S. national policy objectives.
 - (1) Immediate, complete, and unconditional withdrawal of all Iraqi forces from Kuwait.
 - (2) Restoration of Kuwait's legitimate government.
 - (3) Security and stability of Saudi Arabia and the Persian Gulf.
 - (4) Safety and protection of the lives of American citizens abroad.
 - (5) Repayment of war reparations.
 - (6) Destruction of nuclear, biological, chemical and long range attack weapons, under U.N. inspections and supervision.
 - b. Defense of the coastal area in Saudi Arabia was crucial to the allies. For the coalition, loss or serious damage to the port facilities would have made any force buildup extremely difficult. For the Saudis, the loss of the oil, port, water, and industrial facilities would have been an economic and political blow. The seizure of this area would have given Iraq a strong position for negotiations on their terms.
 - c. Naval role in Desert Shield.
 - (1) First on the scene, carriers and Joint Task Force Middle East. Provided power projection and strike capability. The initial force equalizer.
 - (2) Maritime intercept operations commenced upon U.N. approval of the trade embargo (August 6, 1990).
 - (3) Marine forces (defense and amphibious assault threat).

- (4) 7th Marine Expeditionary Brigade (MEB) arrives in Saudi Arabia on August 14, 1990. Marries up with equipment on Maritime Prepositioning Ships (MPS).
- (5) Ready Reserve Fleet ships activated and fast sealift ships began loading army units.
- (6) 95 percent of all equipment went by sea.
- (7) Carrier air wings and Marine aircraft wings aided in the achieving and maintaining air supremacy in Saudi airspace.
- (8) U.S. Navy SEALs operated behind enemy lines and conducted amphibious invasion deceptions.

7. Operation Desert Storm.

a. Air operations.

- (1) Commenced January 17, 1991.
- (2) Naval contribution.
 - (a) Tomahawk land-attack missile (TLAMS): launched from surface ships and submarines (fifty-two in opening salvo). Only weapon system used to attack central Baghdad in daylight.
 - (b) Carrier aircraft flew approximately one-third of the total U.S. missions. Three carriers (of six involved) were in the Gulf and Red Sea.
- (3) One U.S. Navy aircraft lost in first attack, an F/A-18 from the USS *Saratoga*.
- (4) Air superiority, the dominance of a group of aircraft in a given time and space without prohibitive interference by the opposing force, was gained in the first hours of the war.

b. Maritime operations.

- (1) Tasking of the naval commander of all U.S. forces in the theater, Naval Component, Central Command (NAVCENT) in each phase.
 - (a) Participate in air campaign, establish sea control, conduct mine countermeasure operations and attack shore facilities that threaten naval operations.

- (b) Attack ground forces with aircraft and naval gunfire.
 - (c) Make amphibious feints and demonstrations and prepare for amphibious assault.
- (2) Anti-surface warfare (ASUW).
 - (a) 143 Iraqi naval vessels destroyed/damaged.
 - (b) All Iraqi naval bases/ports damaged.
 - (c) All northern Persian Gulf oil platforms searched and secured.
 - (d) No attacks by Iraqi surface vessels against coalition forces.
- (3) Countermine warfare.
 - (a) U.S. assets included a Mine Countermeasure ship (MCM-1); two minesweeping ships (MSO); and six MH-53E helicopters.
 - (b) Two ships were damaged: USS *Tripoli* and USS *Princeton*, both in the northern Persian Gulf.
- (4) Naval gunfire support (NGFS).
 - (a) Battleships USS *Wisconsin* and USS *Missouri* used 16-inch guns to support ground campaign, which was the first time these guns had been used in combat since Korea. 5-inch gun range was too short due to mining.
 - (b) Used Unmanned Aerial Vehicles (UAV) for spotting and real time battle damage assessment.
- (5) Amphibious warfare.
 - (a) Amphibious Task Force (ATF) conducted five amphibious operations:
 - ((1)) Raided Umm Al-Maradim Island off Kuwait.
 - ((2)) Against Faylaka Island.
 - ((3)) Against Ash Shuaybah Port Facility.
 - ((4)) Against Bubiyan Island.

((5)) Landing of 5th Marine Expeditionary Brigade (MEB) in Saudi Arabia, mission of First Marine Expeditionary Force (I MEF).

(b) Resulted in Iraqi focus on their western flank. Tied down two to three Iraqi divisions in Kuwait to defend against invasion.

c. Ground operations (February 24-28: 100-hour campaign) – Marine contribution:

(1) I MEF committed two infantry divisions.

(2) Naval force continued support in form of prepared amphibious assault on the Kuwait coast. Highest priority was deception.

(3) I MEF faced the strongest concentration of enemy defenses in theater and breached two defensive belts. By end of the day, I MEF had taken 8,000 enemy prisoners of war and attacked twenty miles into Kuwait.

(4) All objectives were achieved by early February 27, including Kuwait International Airport.

8. Desert Storm conclusions.

a. Estimated Iraqi losses.

(1) 100,000 Iraqi soldiers dead, wounded, and captured; 3,847 tanks, 1,450 armored personnel carriers, 2,917 artillery pieces, and 32 aircraft.

(2) An estimated 86,000 prisoners had been captured.

b. U.S. fatalities were 313, both combatant and noncombatant.

c. The combined Coalition forces – the first coalition warfare the U.S. had seen since WW II – had won one of the fastest and most complete victories in military history.

d. Importance of unity of command, power projection from the sea, and littoral warfare. Ready land bases may not always be available, reinforcing the importance of the Navy-Marine Corps team for immediate response and power-projection ashore.

e. Saddam remained in power and in the following ten years the U.S. Navy and U.S. Air Force operated in support of Operations Northern Watch and Southern Watch enforcing no-fly zones.

D. Strategic implications of Soviet Collapse and post-Cold War era.

1. July 31, 1991: START I. U.S. President George H. W. Bush, and Soviet General Secretary Gorbachev signed Strategic Arms Reduction Treaty. Arsenals to be cut by 25 to 30 percent.
2. September 27, 1991, President Bush announced that the Soviets no longer pose creditable threat to U.S.
 - a. Strategic Air Command (SAC) bombers off twenty-four hour alert.
 - b. Removed all tactical nuclear weapons from U.S. Navy surface, sub, and aircraft.
3. Soviet collapse, December 8, 1991.
 - a. Boris Yelstin elected President after Soviet collapse. He was re-elected in 1996 and resigned in December of 1999, due to health.
 - b. Successor states: Russia, Kazakhstan, Ukraine, and Belarus. Ukraine and Kazakhstan became the third and fourth largest nuclear states.
 - (1) Russia joined U.S. in the Nonproliferation Treaty (NPT) of 1968 demanding other states disarm. No lesser states agreed to non-nuclear status until 1996; Russia and U.S. ratified START II.
 - (2) U.S. and Russia found themselves “comrades in arms” to prevent uncontrolled nuclear weapons in former Soviet Union, North Korea, Pakistan, and India.
4. North Korea.
 - a. Early 1993, North Korea violated signed treaty and prevented Atomic Energy Agency inspections of nuclear waste sites. Inspectors found evidence that North Korea violated the nonproliferation treaty by separating plutonium from reactor waste.
 - b. President Kim Il-Sung accused U.S. and South Korea of “spying” for the purpose of a planned, organized, joint nuclear strike on the North.
 - c. President Sung’s son, Kim Jong-II, follows father to presidency eighteen months later and agrees with President William Clinton to allow inspections for light-water reactors that do not produce plutonium.

- d. August 31, 1998: North Korea launched a ballistic missile over Japan. North Korea demanded lift of economic sanctions.

5. India/Pakistan

- a. May 1998: India announced detonation of five nuclear weapons in Thar Desert near Pakistan border.
 - (1) 1968: India refused to sign NPT.
 - (2) 1974: became “nuclear power.”
- b. U.S. and U.N. plead to Pakistan to not respond to test. Pakistan conducts six tests within a month.
- c. June 6, 1998, both countries sign Nonproliferation Treaty of 1968 and the Comprehensive Test Ban Treaty (CTBT). Little affect; both countries still engage in testing through non-official testing sites.

6. Missile Defense Systems.

- a. Decades of arms control negotiations, dissolution of the Soviet Union, and, in the afterglow of the Cold War, nuclear war seems less plausible to Americans.
- b. Threat of massive retaliation simply would not deter terrorists, so missile defense becomes topic of the end of the 1990s.
- c. December 1999.
 - (1) President Yeltsin resigns and Vladimir Putin is both acting President and Prime Minister until March 2000, when he officially became President of the Russian Federation.
 - (2) President Clinton and President Putin sign 1999 National Missile Defense Act Treaty calling for a missile defense system as soon as technologically feasible, while working to further reduce weapons arsenal.
- d. January 2001: President George W. Bush, took the Oath of Office.
- e. President Bush decoupled American and Russian strategic interests for the first time since Nixon.
 - (1) May 1, 2001: announces intention to build Missile Defense system, intentionally violating the 1972 Anti- Ballistic Missile (ABM) Treaty with Soviet Union.

- (2) Further solidifies Russian and Chinese “partnership.”
 - (3) July 2001: successful test. Missile borne “kill vehicle” intercepts Minuteman II.
 - (4) December 13, 2001: President Bush formally withdraws United States from the 1972 ABM Treaty.
- E. Post-Gulf War Iraq – 1990s includes a series of operations where the U.S. Navy, especially the carrier battle group (CVBG), is a primary instrument.
 - 1. 1992.
 - a. United Nations Security Council Resolution (UNSCR) 687 and related resolutions 707, 715, and 1051 stipulated that Iraq must provide full, final and complete disclosure of all aspects of its nuclear, chemical, biological, and long-range missile weapons programs; allow unconditional inspection access by international monitors; cease any attempt to conceal, move, or destroy any material or equipment related to these programs; and cooperate with U.N. monitoring of relevant Iraqi facilities and trade activities.
 - b. August 26: “No Fly Zone” (NFZ) (Operation Southern Watch) – any aircraft found south of the 32nd parallel will be attacked.
 - c. December 27: F-16D destroys MiG-25 intruding NFZ.
 - 2. 1993.
 - a. January 13: Thirty-five aircraft from USS *Kitty Hawk* lead strike against thirty-two Iraqi SAM sites that have continued to target planes patrolling the NFZ.
 - b. January 17: Three destroyers launch a total of forty-five Tomahawk cruise missiles into Zaafaraniyah Nuclear Fabrication Facility; forty-one hit their targets.
 - c. Aegis cruiser launches twenty-three missiles at Iraqi Intelligence Service Headquarters in Baghdad.
 - 3. 1995.
 - a. August 17: Operation Vigilant Sentinel. U.S. sends two CVBGs in response to Iraqi threat on Kuwait and Jordan’s borders.
 - b. September: Iraq finally declared the existence of two projects to disseminate biological agents from Mirage F-1 and MiG-21 aircraft, yet there is no

evidence that the prototype weapons and aircraft were ever destroyed. There is also no evidence that the twelve Iraqi helicopter-borne aerosol generators for biological weapon delivery were ever destroyed.

4. 1996.

- a. September 3: Operation Desert Strike. Iraqi troops threaten Kurds under protection of Operation Provide Comfort.
- b. September 4: President Clinton extends NFZ to the 33rd parallel.

5. 1997: Operation Northern Watch. Enforcement of NFZ over Northern Iraq.

6. 1998.

- a. July. Iraq seized from the hands of UNSCOM inspectors an Iraqi Air Force document indicating that Iraq had misrepresented the expenditure of over 6,000 bombs that may have contained over 700 tons of a chemical agent. Iraq continues to refuse to provide this document to the UN.
- b. November 14: Saddam suspends all contact with U.N. inspection teams.
- c. December. Saddam stopped all cooperation with the UN, refusing to let any weapons inspectors into the country. Iraq had begun playing hide-and-seek with UN inspectors in 1991.
- d. December 16. Operation Desert Fox. Air strikes by USS *Enterprise* (CVN 65) and USS *Carl Vinson* (CVN 70) Battle Groups. *Carl Vinson* stays on station for following months and responds to NFZ violations with air strikes.

7. 1999.

- a. Nine years after the Gulf War, sanctions remained in place because Iraq had decided to (1) hide weapons and major components of these programs, (2) secretly destroy older, less-capable weapons and equipment, and (3) give U.N. inspectors fraudulent declarations to mask weapons and equipment that are still hidden.
- b. Apart from one document referring to a single year, no Iraqi biological weapon production records have been given to the U.N. – no records of storage, of filling into munitions, or of destruction. This is why UNSCOM refers to Iraq's biological weapons program (which deployed SCUD missile warheads filled with anthrax and botulinum toxin to be ready for use against Coalition forces) as a "black hole."

8. 2001.
 - a. February 16: Air strike on Iraq. First time that positions outside the NFZ have been hit since Operation Desert Fox (1998).
 - b. August 10: More than twenty-five strikes this year in response to anti-aircraft fire and missile launches.
 9. 2002
 - a. January 21 and February 28: U.S. and British planes strike anti-air sites in response to fire.
 - b. January 29: President Bush announces, “Iran, Iraq, and North Korea” constitute an “axis of evil.”
 - c. As of January 2002, multiple combat air patrols are still present over Iraq with occasional strikes in response to NFZ violations. Plans loom for possible future invasion.
- F. Bosnia – Post-Soviet Union collapse; four of the six Yugoslavian republics want independence. Serbian President Milosevic uses force for the following decade to oppose these states. This situation will require the assistance of U.S troops and U.N. troops for over a decade.
1. 1991.
 - a. June 27: Fighting starts in Slovenia, spreading to Croatia.
 - b. November 8: Europe places economic blockade on Yugoslavia.
 2. 1992.
 - a. January: U.N. protection force sent.
 - b. May 22: U.N. recognizes Croatia, Slovenia, and Bosnia as independent states. Fighting broke out soon after as Bosnian Serbs claim existence of a Serb republic federated with Yugoslavia; ethnic cleansing begins.
 - c. March 30: U.N. called for humanitarian aid, economic embargos, and ban on air traffic.
 - d. July 1: Washington called for relief flights that would be multinational and be supported until Operation Deny Flight in April 1993.

- e. September 22: Yugoslavia expelled from U.N. in response to Milosevic's atrocities.
- 3. 1993
 - a. April 12: Operation Deny Flight. NFZ over Bosnia.
 - b. June 15: Operation Sharp Guard. Adriatic blockade.
- 4. 1995
 - a. August 30 – September 21: Operation Deliberate Force. NATO bombing offensive.
 - b. December 14: Dayton Accords. Ended war in Bosnia.
 - (1) Serb Republic.
 - (2) Federation of Bosnia-Herzegovina.
 - (3) NATO Implementation Force.
- 5. June 14, 1998: Operation Determined Falcon.
- 6. 1999.
 - a. March 24 – June 10: NATO war with Yugoslavia. Operation Deny Force. Response to Milosevic's "ethnic cleansing" Kosovo, started shortly after the Dayton Accords.
 - (1) Seventy-eight day campaign.
 - (2) Serb forces eventually evacuated and refugees return to their province.
- G. Somalia – The 1991 overthrow of presidential dictator, Siad Barre, creates a vacuum in which rival clans fight for power. Widespread starvation ensues.
 - 1. 1992.
 - a. August 18 – December 9: Operation Provide Relief. U.S. JTF delivers 145,000 tons of food, medicine, and other vital supplies.

- b. December 9: Operation Restore Hope. President Bush sends forces to protect delivery of food and supplies. Troops to be withdrawn January 20, 1993.

2. 1993.

- a. June 5: Mogadishu, twenty-four members of a detachment of Pakistani peacekeepers are killed.
 - (1) UNSC Resolution 837 – Arrest all responsible for deaths and calls for a disarmament of all “Somali parties.”
- b. October 3. Four hundred U.S. Army troops ambushed. Eighteen American killed; seventy-seven wounded.
- c. October 7: President Clinton orders troops to Somalia. 22nd MEU take station off of Mogadishu. Troops to be withdrawn in six months.

- 3. March 24, 1994: U.S. withdraws. U.S. Marines cover departure of U.S. JTF, conduct amphibious withdrawal, and continue to the Adriatic Sea in support of operations in former Yugoslavia. Fifty-five Marines of the Anti-terrorism security team stay behind to protect the embassy until close.

- 4. March 3, 1995: Operation United Shield. U.N. evacuates Somalia, covered by multinational force, including U.S. ships and Marines.

- 5. All commitments in the “joint world” are not alone to one service. Although the U.S. Navy had a smaller part in operations in Somalia, it still affected commitments to Yugoslavia and Iraq at this time. The governing U.S. policy through the 1990s was to maintain a force to fight two to three conflicts simultaneously.

H. “Other” 1990s naval events.

1. In the news

- a. September 1991: Tailhook – The U.S. Navy suffers bad public relations and a great loss of officers’ careers through non-judicial punishment (NJP) for conduct unbecoming an officer.
- b. April 1993: Secretary of Defense announces that women will be able to fly combat aircraft and serve on combat vessels.

- c. July 1993: “Don’t Ask, Don’t Tell” – President Clinton policy for homosexuals in the military.
 - d. February 1994: Lieutenant Shannon Workman becomes first female carrier qualified fighter pilot.
 - e. February 1998: A Marine Corps EA-6B, based in Aviano, Italy, flies below low level training route altitude and severs gondola cables killing civilians.
 - f. October 1994: Lieutenant Kara Hultgreen, first woman carrier qualified in the F-14 Tomcat, is killed during landing operations; Radar Intercept Officer (RIO), Lieutenant Matthew “Shaggy” Klemish, survives ejection.
 - g. March 1995: Lieutenant Commander Wendy Lawrence, daughter of Admiral Lawrence (Vietnam POW), becomes first female naval aviator in space on board STS 60, The Endeavor.
 - h. May 1996: Death of Admiral Jeremy Michael Boorda. Chief of Naval Operations shoots himself in response to journalistic investigations of his entitlement to wear combat “V” for service in waters off Vietnam.
 - i. October 2000: Attack on the USS *Cole*. (DDG 67) is struck in port in Yemen by small boat carrying hundreds of pounds of explosive. Osama Bin Laden suspected.
 - j. February 2001: *Greenville* incident. USS *Greenville* (SSN 772) makes “emergency blow” and strikes Japanese trawler, killing nine of thirty-five on the civilian boat.
 - k. April 2001: EP-3 Incident. Chinese J-8 accidentally clipped one of EP-3 propellers forcing the EP-3 to emergency land on communist soil. Chinese pilot ejects, but not recovered. Ensuing debate over “fault” of collision.
2. Policy/New technology – Use the following timeline to demonstrate the changes from Mahanian Sea Control policies. The government consolidates spending and naval strategy into the CVBG and the U.S. Marine Corps as a tool of power projection. Without another superpower, is control of the seas so vital a role?
- a. September 1992: “. . . From the Sea.” The navy adopts new mission as consequence to the end of the Cold War. Views “control of the seas” as a battle already won in the new “Single Superpower” world. Shifts focus to projection of military forces in littoral areas during regional conflict.
 - b. September 1993: “Bottom Up Review.” 346-ship navy with eleven carrier battle groups. Goal: Ability to fight two major regional conflicts and one low

intensity conflict at the same time. Discuss the naval commitments at this time (i.e., Bosnia, Iraq, Somalia). History is guiding policy.

- c. May 1997: As result of first “Quadrennial Defense Review,” force levels to be able to deal with two simultaneous regional conflicts call for twelve carrier groups and twelve amphibious ready groups.
- d. June 1997: U.S. Navy signs preliminary agreement for construction of the DD-21 *Zumwalt*-class.
- e. May 1999: Osprey, MV-22, first of four production models approved.
- f. September 1999: New Attack Sub (NSSN) *Virginia*-class to be built. First delivered in 2004. Thirty to be built to replace *Los Angeles*-class submarine.
- g. April 2000: MV-22 crashes in Arizona; Nineteen killed.
- h. December 2000: MV-22 crashes in Jacksonville, killing all four crewmen.
- i. December 2000: JSF X-35C, carrier version, makes first flight. Contracted by the U.S. Navy to complement the F/A-18E/F in 2010. STOVL (short take-off/vertical landing) variant intended for U.S. Marine Corps.
- j. March 2000: Mrs. Ronald Reagan christens USS *Ronald Reagan* (CVN 76), first carrier named for a living president.

- k. June 2001: Secretary of Defense Donald Rumsfeld reports that DD 21 land-attack destroyer would not be a substantial improvement over existing platforms.

I. Significance of the 1990s for the navy of the future.

- 1. The naval strategy and policy in the 1990s was transitional when judged against the post “9-11” events and the War on Terrorism.
- 2. Very many of the guiding assumptions of the 1990s were made obsolete by 9/11 and the War on Terrorism.
- 3. Nonetheless, many aspects of the naval policy and strategy of the 1990s remain valid for the early 2000s. The task is to decide which ones they are.

**NAVAL RESERVE OFFICER TRAINING CORPS
SEA POWER AND MARITIME AFFAIRS**

LESSON GUIDE: 18

HOURS: 1

TITLE: The U.S. Navy Since 2001

I. Learning Objectives:

- A. The student will comprehend the policy goals of the George W. Bush administration (2001-2009) and their effect on the navy.
- B. The student will comprehend the navy's role in the Global War on Terror (GWOT).
- C. The student will comprehend the trends of public commitment during the period from 2001 to 2008 relative to the support for defense budgets, force deployments, and administration policies.
- D. The student will know the essential elements of the document "A Cooperative Strategy for 21st Century Seapower" (October 2007).
- E. The student will know (list) the causes of the U.S. invasion of Afghanistan in 2001 and the international reaction to it.
- F. The student will comprehend the roles of the U.S. Navy and U.S. Marine Corps in Operation Enduring Freedom and Operation Iraqi Freedom.
- G. The student will comprehend the national strategic implications of the start of the war on terror and its effects on the U.S. Navy.
- H. The student will comprehend the roles of the U.S. Navy in domestic and international humanitarian assistance and disaster relief.
- I. The student will comprehend the nature of joint operations in the post-9/11 era, especially the role of the navy in joint operations.
- J. The student will comprehend the changes in naval policy and technology of the 2000s and will know how to evaluate their relevance to the post-9/11 navy.

II. References and Texts:

A. Instructor references:

- 1. *In Peace and War, 30th Anniversary ed.*, Chapter 17.

2. *A Cooperative Strategy for 21st Century Seapower*, October 2007 (found at Maritime Strategy Website: <http://www.navy.mil/maritime/>).
3. *Sea Power 21*(found at <http://www.navy.mil/navydata/cno/proceedings.html>).
4. Naval Expeditionary Combat Command (website: <http://www.necc.navy.mil/>).
5. Combined Joint Task Force Horn of Africa (website: <http://www.hoa.africom.mil/>).
6. “1,000-ship navy,” *Armed Forces Journal* article:
<http://www.armedforcesjournal.com/2006/12/2336959>

B. Student texts:

1. *In Peace and War, 30th Anniversary ed.*, Chapter 17.

III. Instructional Aids:

- A. Official NROTC Sea Power lectures and documents.
- B. Dr. Kenneth J. Hagan lectures and documents.

IV. Suggested Methods and Procedures:

- A. Method options.
 1. Lecture/Discussion.
 2. Incorporate slides with lecture.
- B. Procedural and student activity options: Reading assignment.

V. Presentation:

- A. September 11, 2001.
 1. The state of the U.S. Navy and Marine Corps: Twelve CVBGs, twelve ARGs, 108 surface combatants, 55 SSBNs, three Marine Divisions, three Marine Air Wings. Two carriers present in the Persian Gulf.
 2. The best succinct summary of the U.S. naval reaction to the terrorist attacks of September 11, 2001 appeared in testimony before the Senate Armed Services committee in March 2002 by CNO Admiral Vern Clark. He stated:

On 11 September 2001, USS *Enterprise* was returning from deployment when satellite television provided tragic images of deadly attacks at home half a world away.

Within moments, the “Big E’s” rudder swept over and, using the forward presence and mobility unique to naval forces, headed for the Arabian Sea. By the next morning, *Enterprise* was within reach of Afghanistan, ready to launch and sustain precision strikes against dispersed enemies hundreds of miles from the sea.

Enterprise was not alone in taking prompt action. USS *Carl Vinson* steamed at high speed to join her on station while surface combatants and submarines prepared Tomahawk missiles for long-range strikes. USS *Peleliu*’s Amphibious Ready Group cut short a port visit to Australia and sailed toward the Arabian Sea. USS *Kitty Hawk* prepared to leave its homeport in Japan to serve as an innovative Special Operations support platform.

At home, shipmates saved shipmates in the Pentagon and swiftly reestablished command and control. USS *George Washington* and USS *John C. Stennis* took station off the East and West Coasts of the United States along with more than a dozen cruisers and destroyers, guarding the air and sea approaches to our shores. Shortly thereafter, the hospital ship USNS *Comfort* arrived in New York City, joining the Military Sealift Command Ship USNS *Denebola* in providing food, berthing, and medical support to firefighters and recovery workers toiling in the ruins of the World Trade Center.

- B. Operation Enduring Freedom (OEF). Began for the U.S. Navy in October 2001.
1. Operation Enduring Freedom was launched into Afghanistan to destroy the Taliban government and defeat Al Qaeda terrorists.
 2. Naval forces conducted strike and combat operations against targets far inland.
 - a. USS *Peleliu* (LHA 5) and USS *Bataan* (LHD 5) Amphibious Ready Groups, operating from the Arabian Sea, deployed Marines from their embarked Marine Expeditionary Units over 450 miles inland to seize an Afghan airfield as a forward operating base.
 - b. U.S. Navy and joint strike assets used:
 - (1) Fifteen U.S. long-range bombers, B-1, B-52
 - (2) Twenty-five Carrier Attack A/C, F-14s, F/A-18s
 - (3) Tomahawks, *Aegis*-class cruisers, *Aegis*-class destroyers, and *Los Angeles*-class submarines

- c. This long range expeditionary seizure of an airfield (Objective Rhino, a desert airstrip south of Qandahar, Afghanistan) was historic. U.S. Marines deploying this far inland directly from amphibious ships at sea was unprecedented. It was a textbook operational maneuver from the sea, but at a range that had not been previously anticipated.
 - d. At the same time, the carrier USS *Kitty Hawk* (CV 63) served as an afloat forward staging base for joint special operations forces.
- C. Navy begins to transform in support of winning the war on terror.
- 1. October 2002: New U.S. Navy vision, *Sea Power 21*.
 - a. Sea Strike: Projecting Precise and Persistent Offensive Power.
 - (1) Sea Strike operations are how the 21st-century Navy will exert direct, decisive, and sustained influence in joint campaigns. They will involve the dynamic application of persistent intelligence, surveillance, and reconnaissance; time-sensitive strike; ship-to-objective maneuver; information operations; and covert strike to deliver devastating power and accuracy in future campaigns.
 - b. Sea Shield: Projecting Global Defensive Assurance.
 - (1) Sea Shield will protect national interests with layered global defensive power based on control of the seas, forward presence, and networked intelligence. It will use these strengths to enhance homeland defense, assure access to contested littorals, and project defensive power deep inland. As with Sea Strike, the foundation of these integrated operations will be information superiority, total force networking, and an agile and flexible sea-based force.
 - c. Sea Basing: Projecting Joint Operational Independence.
 - (1) Sea Basing serves as the foundation from which offensive and defensive fires are projected—making Sea Strike and Sea Shield realities. As enemy access to weapons of mass destruction grows, and the availability of overseas bases declines, it is compelling both militarily and politically to reduce the vulnerability of U.S. forces through expanded use of secure, mobile, networked sea bases. Sea Basing capabilities will include providing Joint Force Commanders with global command and control

and extending integrated logistical support to other services. Afloat positioning of these capabilities strengthens force protection and frees airlift-sealift to support missions ashore.

d. ForceNet: Enabling 21st Century Warfare.

- (1) ForceNet is the “glue” that binds together Sea Strike, Sea Shield, and Sea Basing. It is the operational construct and architectural framework for naval warfare in the information age, integrating warriors, sensors, command and control, platforms, and weapons into a networked, distributed combat force.
- (2) ForceNet will provide the architecture to increase substantially combat capabilities through aligned and integrated systems, functions, and missions. It will transform situational awareness, accelerate speed of decision, and allow us to greatly distribute combat power. ForceNet will harness information for knowledge-based combat operations and increase force survivability. It will also provide real-time enhanced collaborative planning among joint (inter-service) and coalition partners.

2. 2003: Carrier Strike Group (CSG) and Expeditionary Strike Groups (ESG).

- a. CNO Guidance for 2003: Admiral Vernon Clark stipulated that the terms Carrier Battle Groups and Amphibious Readiness Groups would no longer be the standards terms and that they would be replaced by Carrier Strike Groups and Expeditionary Strike Groups, respectively, by March 2003. The goal was to find ways to effectively produce naval capability in a more efficient manner.
- b. Under this initiative, Cruiser-Destroyer Groups and Carrier Groups are designated as Carrier Strike Groups (CSG) and aligned directly under the numbered fleet commands. This realignment gives key operational leaders authority and direct access to the people needed to more effectively accomplish the navy’s mission.
- c. Formerly, Carrier Group (CARGRU) and Cruiser-Destroyer Group (CRUDESGRU) staffs were under the administrative authority of the air and surface type commanders (TYCOM). With this new initiative, authority and control comes from the numbered fleet commanders who are responsible for the training and certification of the entire Strike Group.
- d. Carrier Strike Groups provide the full range of operational capabilities. They remain the core of the U.S. Navy’s warfighting strength. No other force package will come close to matching their sustained power projection ability, extended situational awareness, and combat survivability.
- e. Expeditionary Strike Groups consist of amphibious ready groups augmented with strike-capable surface warships and submarines. These groups prosecute Sea Strike missions in lesser-threat environments. As the U.S. Navy operational concepts evolve, and new systems like Joint Strike Fighter are

delivered to the fleet, it will be advantageous to maximize this increased aviation capability. New platforms being developed for Expeditionary Strike Groups should be designed to realize this warfighting potential.

3. January 2006: Naval Expeditionary Combat Command (NECC).

a. Established as a navy type commander, NECC capabilities include:

- (1) Explosive Ordnance Disposal.
- (2) Maritime Expeditionary Security.
- (3) Riverine.
- (4) Expeditionary Diving and Salvage.
- (5) Naval Construction.
- (6) Expeditionary Logistics.
- (7) Maritime Civil Affairs.
- (8) Expeditionary Training.
- (9) Expeditionary intelligence.
- (10) Expeditionary Combat Readiness.
- (11) Combat Camera.
- (12) Expeditionary Medical.
- (13) Expeditionary Guard Battalion.

b. For detailed information on these capabilities see the NECC website.
<http://www.necc.navy.mil/>

4. Since 2001, the U.S. Navy has undertaken an array of new missions around the world, such as providing security at detention facilities, conducting riverine patrols,

building roads and schools and delivering humanitarian assistance. The list of new missions includes, but is not limited to, the following:

a. Provided leadership and manpower to Combined Joint Task Force, Horn of Africa (CJTF-HOA).

- (1) CJTF-HOA established October 2002.
- (2) Onboard USS *Mount Whitney* November 2002-May 2003.
- (3) In May 2003 the mission transferred ashore in Djibouti.
- (4) First two commanders were Marine Corps Major Generals. In April 2006 the command converted to a navy Rear Admiral.
- (5) Mission: CJTF-HOA conducts unified action in the Combined Joint Operations Area - Horn of Africa in order to:
 - (a) Prevent conflict.
 - (b) Promote regional cooperation.
 - (c) Protect U.S. and coalition interests.
 - (d) Prevail against extremism.
- b. Providing naval assistance to the U.S. Army with detainee operations in Iraq and Guantanamo Bay, Cuba.
- c. Other initiatives include:
 - (1) Expeditionary training teams to train allied troops.
 - (2) Increased civil affairs capabilities.
 - (3) Taking the lead for U.S. military participation in Provincial Reconstruction Teams (PRT) in Afghanistan.

D. Operation Iraqi Freedom (OIF), March 2003.

1. U.S. Naval forces:
 - a. Seven aircraft carriers and nine big-deck amphibious ships were among the 164 U.S. Navy ships forward deployed in support of OEF and OIF and contingencies worldwide in 2003.
 - b. The Military Sealift Command sailed and chartered more than 210 ships and moved 94 percent of the nation's joint and combined capability to the fight.

- c. Three Fleet Hospitals, a Hospital Ship, 22 P-3 aircraft, 25 Naval Coastal Warfare detachments were deployed and more than 12,000 reservists were mobilized.
- d. The navy provided a portion of the tactical air capability, as well as tomahawk cruise missile launch platforms.
- e. In 2008 U.S. Navy aircraft continued to fly close air support sorties in Iraq from aircraft carriers in the Persian Gulf.
- f. Additionally, in 2008, other navy assets assisted by filling capability gaps and shortfalls prompted by high demands on low density capabilities in other services, such as tactical aerial reconnaissance and battlefield helicopters.
- g. U.S. Navy trainers trained the Iraqi Navy to secure offshore oil fields, to combat infiltration and smuggling from Iran.
- h. Navy SEAL Special Operations Forces also actively supported efforts against High Value Targets and functioned as trainers with Iraqi forces.

E. Africa Partnership Station.

- 1. In September 2007, amphibious ship USS *Fort McHenry* (LSD 43) deployed to establish a “persistent presence” in the Gulf of Guinea in West Africa as part of increased U.S. military engagement with the continent.
- 2. *Fort McHenry* established an Africa Partnership Station off the coast, delivering presence without putting large numbers of troops ashore.
- 3. The ship’s company trained naval forces in 11 countries during a seven-month deployment and was joined by the high-speed vessel *Swift* serving as a transport ship to move students and trainers during visits to countries in the region.
- 4. The Gulf of Guinea has significant strategic importance because a large percentage of U.S. oil imports flows through it and the partnership seeks to counter organized crime and the potential for terrorism in the region.

F. *Cooperative Strategy for 21st Century Seapower*, October 2007.

- 1. In June 2006, Admiral Mike Mullen announced that a new maritime strategy was to be developed.
- 2. *Cooperative Strategy* was published in October 2007.

3. U.S. naval strategy is now embodied in an Expanded Core Capabilities of Maritime Power defined as:
 - a. Forward presence.
 - b. Deterrence.
 - c. Sea control.
 - d. Power projection.
 - e. Maritime security.
 - g. Humanitarian assistance and disaster response.
- G. The “1,000-Ship Navy” (see <http://www.armedforcesjournal.com/2006/12/2336959>).
 1. Chief of Naval Operations Mullen’s concept of a global maritime partnership proclaimed in 2006.
 2. No one nation or single service can “go it alone.” Globalization has delivered benefits and exposed new vulnerabilities while empowering nations, individuals and enemies throughout the coastal regions and sea lanes that the U.S. Navy is obligated to protect.
 3. Most global commerce still travels by sea, which makes international maritime cooperation critical over the next five to 15 years. That was the essence of Mullen’s “1,000-Ship Navy” concept: to create global maritime partnerships for maritime security and awareness. In the partnerships vessels and capabilities from partner nations around the world must share responsibility for the security of international commerce and maintaining freedom of the seas.
 4. International and U.S. Navy support for the concept has grown steadily since introduction at the International Seapower Symposium in 2005, and it has been reinforced by tangible successes at sea:
 - a. In the Strait of Malacca, Singapore, Malaysia and Indonesia conduct coordination of security patrols to combat piracy
 - b. During the 2006 war between Israel and Hezbollah, an ad hoc fleet of 170 naval vessels from 17 countries successfully evacuated thousands of non-combatants from Lebanon.
 - c. In 2008, the U.N. Security Council authorized international naval forces to combat piracy in the waters off Somalia.

5. U.S. Navy force level plans

- a. A force of 313 ships (minimum) by 2020, with 12 aircraft carriers, 48 submarines and 143 surface combatants, including 55 new LCSs, all designed to provide more options and more flexibility than ever before, particularly in core competencies like mine and undersea warfare and anti-ballistic missile defense.

H. Other U.S. Navy missions and operations

1. Theater Ballistic Missile Defense (TBMD).

- a. An out-of-control surveillance satellite orbiting above the Pacific Ocean at a speed in excess of 17,000 mph was intercepted and destroyed by an SM-3 missile launched by the *Ticonderoga*-class cruiser USS *Lake Erie*.
- b. The *Arleigh Burke*-class destroyers USS *Decatur* and USS *Russell* were also part of the task force.
- c. Despite concerns voiced by China and Russia, U.S. Defense Secretary Robert Gates authorized the firing of a single missile in an attempt to destroy a tank of toxic fuel onboard the satellite.
- d. On February 20, 2008 the BMD weapon, fitted with a kinetic energy warhead and modified specifically for this mission, struck the satellite at an altitude of 133 miles.

2. Humanitarian Assistance (HA) and Disaster Relief (DR).

- a. October 2005 – Pakistan Earthquake.
 - (1) Commander, Expeditionary Strike Group was designated as coordinator, Disaster Assistance Center, Pakistan.
 - (2) Elements of Expeditionary Strike Group 1, including the amphibious assault ship USS *Tarawa* (LHA 1), amphibious transport dock USS *Cleveland* (LPD 7) and frigate USS *Ingraham* (FFG 61) were positioned off the Pakistani coast to be in a better position to provide additional support
- b. December 2004 – Operation Unified Assistance
 - (1) Indonesian Tsunami relief efforts

c. August – September 2005 – Hurricane Katrina off the Gulf Coast of the U.S.

- (1) USS *Bataan* (LHD 5) was already operating in the region as the storm approached. She steamed westward to embark four MH-53s from HM-15 based at NAS Corpus Christi, Texas, which joined two MH-60s from Helicopter Sea Combat Squadron (HSC) 28 already on board. Late in the afternoon on August 30, these helicopters began search and rescue operations in the vicinity of New Orleans.
- (2) The Navy sent assets from the Norfolk, Va., area, including three amphibious ships: *Iwo Jima* (LHD 7), *Shreveport* (LSD 46), and *Tortuga* (LSD 46).
- (3) On September 4, *Iwo Jima* moored pierside in downtown New Orleans and became a hub for military and civilian helicopter activity in the city. *Iwo Jima* became the headquarters for Joint Task Force Katrina led by Army Lieutenant General Russell Honore.
- (4) USS *Harry S. Truman* (CVN 75) also deployed to the area along with *Whidbey Island* (LSD 41). *Truman* embarked elements of thirteen Navy helicopter squadrons, and by deploying close to the disaster area shortened the mission time for operations that had previously been flown from Naval Air Station (NAS) Pensacola. The carrier also provided support to NAS Joint Reserve Base (JRB), New Orleans in the form of aviation boatswain's mates and cooks to keep that vital station in operation.
- (5) The demand for aircraft, particularly helicopters, led to the deployment of aircraft from across the services and the country. Helicopter Antisubmarine Squadron Light (HSL) 43, HSL-47, and HSL-49, and HSC-21 arrived from NAS North Island, Calif., with their MH-60 Seahawks. Three Marine squadrons from Marine Corps Air Station (MCAS) New River, N.C., sent six CH-53E Super Stallions and two CH-46E Sea Knights, and Heavy Helicopter Squadron (HMH) 772. A reserve squadron from Willow Grove, Pa., sent four more Super Stallions. The Army's III Corps and two Air Force rescue wings

contributed over 30 helicopters. Naval aviation units also provided key logistical support; Fleet Logistics Support

Squadron (VR) 57 and VR-58 moved in Seabees and HSL crewmen, evacuated hundreds of citizens, and transported tons of supplies. At the height of operations, the various elements of the Department of Defense had more than 350 helicopters and over 70 fixed-wing aircraft involved in Katrina relief efforts.

3. Cooperative Engagement.

a. USNS *Mercy* (T AH 19).

- (1) In 2008, USNS *Mercy* completed Pacific Partnership, a four-month humanitarian/civic assistance (HCA) and theater security cooperation mission, conducted with countries from the Western Pacific and Southeast Asia.
- (2) During the Pacific Partnership mission, *Mercy* served as an enabling platform for military and nongovernmental organizations (NGOs) to coordinate and carry out humanitarian and civic assistance (HCA) efforts in the Republic of the Philippines, Vietnam, the Federated States of Micronesia, Timor-Leste and Papua New Guinea.
- (3) As part of the maritime strategy, the relationships built and sustained with multinational partners in the Asia-Pacific region through exercises and professional and military exchanges constitute humanitarian efforts, and they help to preserve peace and stability in the region.

b. USNS *Comfort* (T AH 20).

- (1) In 2007, *Comfort* conducted a four-month humanitarian assistance and training mission as a major component of the president's initiative: "Advancing the Cause of Social Justice in the Western Hemisphere."
- (2) *Comfort* visited twelve Central American, South American and Caribbean nations where its embarked medical crew provided free health care services to communities in need.
- (3) The mission offered valuable training to U.S. military personnel while promoting U.S. goodwill in the region. The civilian and military medical team treated more than 98,000 patients, provided 380,000 treatments and performed 1,170 surgeries.

c. Re-establishment of U.S. 4th Fleet

- (1) In July 2008, the U.S. 4th Fleet was reestablished. The mission of 4th Fleet is to direct U.S. naval forces operating in the Caribbean, Central and South American regions and interact with partner nation navies within the maritime environment. Various operations include counter-illicit trafficking, Theater Security Cooperation, military-to-military interaction and bilateral and multinational training

- (2) As the navy component for SOUTHCOM, 4th Fleet has the designation as Commander, U.S. Naval Forces South (COMUSNAVSO)

4. Anti-Piracy Coordination, beginning January 2009.

- a. On January 8, 2009, the U.S. Navy said it would create a new anti-piracy task force in the latest military response to attacks in the waters off Somalia, and it asked other nations' navies to join in.
- b. The effort came amid early signs that growing international naval firepower in the area may be starting to have an effect, and shippers are doing a better job defending themselves.
- c. The Bahrain-based U.S. 5th Fleet said the task force, which would initially include an American command ship and two other U.S. warships, along with supporting aircraft, would be operational by mid-January 2009.
- d. The move did not necessarily indicate an increase of U.S. firepower, but was the first attempt to officially coordinate the growing international naval presence.
- e. The U.S. did not identify navies it was seeking out to join the anti-piracy force. Governments that had ships in the region or had announced deployments recently included China, India, Malaysia and Russia. A handful of European Union navies were patrolling the Gulf of Aden in an anti-piracy effort called "Operation Atlanta." French and British forces already were working closely with the U.S. in the region and in the nearby Persian Gulf; Navy officials in both countries said they had no immediate plans to join the new task force.
- f. In summer 2008, the U.S. Navy and a small group of allied nations set up a special anti-piracy patrol area off Somalia as attacks accelerated. A spokeswoman for the 5th Fleet spokeswoman said the international navies were already informally coordinating responses to piracy, and the new unit was designed to improve that cooperation.
- g. Pirate attacks increased significantly in the region in 2008, culminating in the dramatic seizures of a cargo ship full of military hardware in September and a Saudi Arabian oil tanker in November. Pirates typically hold crewmembers and vessel hostage, demanding big ransoms.
- h. The Navy maintained that a military solution would not be enough to curtail piracy off Somalia. Officials said a political solution in Somalia was the key to curbing piracy.

- i. Meanwhile, as the international naval defense presence grew, owners and captains of merchant ships appeared to be improving their own self-defense measures against continuing piracy attacks.
 - (1) “The merchant ships have been doing a great job stepping up and using defensive measures,” said 5th Fleet Commander Vice Admiral. Bill Gortney on January 8, 2009.
 - (2). On January 1, 2009, pirates attacked a cargo ship in the Gulf of Aden, taking hostage 28 crewmembers, according to the Kuala Lumpur-based International Maritime Bureau. But four other attacks in the seven-day period ending January 5 were thwarted by international warships or military aircraft. In two other incidents, the crew of targeted ships took evasive action and prevented hijackings.

I. Procurement Programs.

- 1. In July 2008 the navy announced it would build just two DDG 1000 ships and continue building the Arleigh Burke-class (DDG 51) destroyers.
- 2. Littoral Combat Ship (LCS).
 - a. 2004 – Navy awards contract to Lockheed Martin to build the first LCS.
 - b. 2007 – Construction of the third and fourth littoral combat ships terminated by Secretary of the Navy Donald Winter after the navy could not reach agreement with the contractors team leads on restructuring the contracts.
 - c. The Fiscal Year (FY) 2009 navy budget request included two additional LCS seaframes. The navy entered the final stages of a competition for awarding contracts for those ships.
 - d. October 2008 – LCS 2, USS *Independence* christened.
 - e. November 2008 – LCS 1, USS *Freedom* commissioned.
- 3. P-8A Maritime Patrol Aircraft.
 - a. June 2004 – U.S. Navy selected the Boeing Multi-mission Maritime Aircraft (the 737 MMA) to replace the P-3 Orion Maritime Patrol Aircraft.
 - b. Planned purchase is 108 aircraft.
- 4. *Virginia*-class submarines.

- a. In December 2008 the U.S. Navy signed a five-year, \$14 billion Multi-Year Procurement (MYP) contract for eight *Virginia*-class submarines
- b. The contract for the *Virginia*-class calls for one ship per year in FY 2009 and 2010 and two per year in FY 2011, 2012, and 2013. The contract also met the mandates of the Chief of Naval Operations and *Virginia*-class program to reduce acquisition costs by approximately 20 percent for the FY 2012 ships.

J. Change and continuity

- 1. This lesson emphasizes the transformation the U.S. Navy experienced in the first decade of the 21st century.
- 2. The magnitude of that transformation must be assessed by comparing it with the changes and continuities of the U.S. Navy since its beginnings in the American Revolution.

List of Abbreviations

ABCD – Atlanta, Boston, Chicago, Dolphin
A/C – Aircraft
AD – Direct Action
ADO – Abu Nidal Organization
ARG – Amphibious Ready Group
ARVN – Army of the Republic of Vietnam
ASUW – Antisurface Warfare
ASW – Antisubmarine Warfare
ATC – Armored Troop Carriers
ATF – Amphibious Task Force
BB – Battleship
BMD – Ballistic Missile Defense
CA – Heavy Cruiser
CARGRU – Carrier Group
CH – Cargo Helicopter
CINCPAC – Commander in Chief Pacific
CJTF-HOA – Combined Joint Task Force Horn of Africa
CNO – Chief of Naval Operations
COMUSNAVSO – Commander U.S. Naval Forces Southern Command
CRUDESGRU – Cruiser-Destroyer Group
CSG – Carrier Strike Group
CTBT – Comprehensive Test Ban Treaty
CV – Aircraft Carrier
CVA – Aircraft Carrier, Attack
CVAN – Aircraft Carrier, Attack, Nuclear Powered
CVBG – Carrier Battle Group
CVN – Aircraft Carrier, Nuclear Powered
CVS – Seaplane Carrier (Prior to 1957), Antisubmarine/Support Carrier (After 1957)
DD – Destroyer
DDG – Guided Missile Destroyer
DOD – Department of Defense
DR – Disaster Relief
ESG – Expeditionary Strike Group
FFG – Guided Missile Frigate
FMLN - Farabundo Marti National Liberation Front
FY – Fiscal Year
GWOT – Global War on Terror
HA – Humanitarian Assistance
HCA – Humanitarian/Civic Assistance
HF/DF – High Frequency/Direction-finding
HM – Marine Helicopter
HMH – Heavy Helicopter Squadron

HMS – Her Majesty’s Ship
 HSC – Helicopter Sea Combat Squadron
 HSL – Helicopter Antisubmarine Squadron Light
 HUK – Hunter Killer Group
 ICAO – International Civil Aviation Organization
 IMO – International Maritime Organization
 INF – Intermediate-Range Nuclear Forces
 IRBM – Intermediate Range Ballistic Missile
 JCS – Joint Chiefs of Staff
 JRB – Joint Reserve Base
 JSF – Joint Strike Fighter
 JTF – Joint Task Force
 LCS – Littoral Combat Ship
 LHA – Amphibious Assault Ship, General Purpose
 LHD – Amphibious Assault Ship, Multi-Purpose
 LPD – Amphibious Transport Dock
 LSD – Dock Landing Ship
 MACV – Military Assistance Command Vietnam
 MCAS – Marine Corps Air Station
 MCM – Mine Countermeasures Ship
 MEB – Marine Expeditionary Brigade
 MH – Marine Helicopter Squadron
 MMA – Multi-mission Maritime Aircraft
 MSO – Ocean Minesweeper
 MSTs – Military Sea Transportation Service
 MV – Multimission Vertical Take-Off and Landing
 MYP – Multi-Year Procurement
 NAS – Naval Air Station
 NAVATAC – Navy Antiterrorism Alert Center
 NAVCENT – U.S. Naval Forces Central Command
 NBC – Nuclear Biological Chemical
 NCIS – Naval Criminal Investigative Service
 NECC – Naval Expeditionary Combat Command
 NFZ – No Fly Zone
 NGO – Nongovernmental Organization
 NJP – Non Judicial Punishment
 NPA – New People’s Army
 NPT – Nonproliferation Treaty
 NROTC – Naval Reserve Officer Training Corps
 NSC – National Security Council
 NSSN – New Attack Submarine
 NVA – North Vietnamese Army
 OEF – Operation Enduring Freedom
 OIF – Operation Iraqi Freedom

 PCC – Professional Core Competencies

PCF – Fast Patrol Craft
 PFLF – Popular Front for the Liberation of Palestine
 PIRA – Provisional Irish Republican Army
 POW – Prisoner of War
 PRT – Provisional Reconstruction Team
 RAF – Red Army Faction; Royal Air Force
 RB – Red Brigades
 RDJTF – Rapid Deployment Joint Task Force
 RGFC – Republican Guard Forces Command
 RIO – Radar Intercept Officer
 SAC – Strategic Air Command
 SACEUR – Supreme Allied Commander Europe
 SALT – Strategic Arms Limitation Talks
 SAM – Surface-to-Air Missile
 SCUD – Surface-To-Air Missile System
 SEAL – Sea, Air, Land
 SEALORDS – Southeast Asia Lake, Ocean, River, and Delta Strategy
 SEATO – Southeast Asia Treaty Organization
 SIGINT – Signals Intelligence
 SIOP – Single Integrated Operational Plan
 SL – Sendero Luminoso
 SLEP – Service Life Extension Program
 SLOC – Sea Line of Communications
 SM – Standard Missile
 SOSUS – Sound Surveillance System
 SOUTHCOM – Southern Command
 SS – Submarine (Attack/Fleet)
 SSBN – Submarine, Ballistic Missile, Nuclear Powered
 SSN – Attack Submarine, Nuclear Powered
 START – Strategic Arms Reduction Treaty
 STOVL – Short Takeoff and Vertical Landing
 STS –Space Transportation System
 T AH – Hospital Ship
 TBMD – Theater Ballistic Missile Defense
 TF – Task Force
 TLAM – Tomahawk Land-Attack Missile
 TWA – Trans World Airlines
 TYCOM – Type Commander
 UAE – United Arab Emirates
 UAV – Unmanned Aerial Vehicle
 UN – United Nations
 UNSCOM – United Nations Special Commission

UNSCR – United Nations Security Council Resolution
 U.S. – United States

USNS – United States Naval Ship
USS – United States Ship
USSR – Union of Soviet Socialist Republics
VR – Fleet Logistics Support Squadron
